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THE UNIVERSITY OF ALBERTA

E.T.A. HOFFMANN'S CONCEPT OF POETIC ACTIVITY AS REFLECTED IN THE POET FIGURES AND NARRATORS IN HIS SHORT PROSE

by

Clare E. Tuck

A THESIS

SUBMITTED TO THE FACULTY OF GRADUATE STUDIES AND RESEARCH

IN PARTIAL FULFILMENT OF THE REQUIREMENTS FOR THE DEGREE

OF MASTER OF ARTS IN GERMAN LITERATURE

DEPARTMENT OF GERMANIC LANGUAGES

EDMONTON, ALBERTA

FALL 1987

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(SIGNED) Clare E. Tuck

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Wing., Nr. Oakham,
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England.

DATED 24th Sept. 1987

Von der Poesie sucht Kunde
Mancher im gelehrten Buch,
Nur des Lebens schöne Runde
Lehret dich den Zauberspruch.

Joseph von Eichendorff.
Das Bilderbuch (1837)

THE UNIVERSITY OF ALBERTA

FACULTY OF GRADUATE STUDIES AND RESEARCH

The undersigned certify that they have read, and recommend to the Faculty of Graduate Studies and Research, for acceptance, a thesis entitled E.T.A. HOFFMANN'S CONCEPT OF POETIC ACTIVITY AS REFLECTED IN THE POET FIGURES AND NARRATORS IN HIS SHORT PROSE submitted by Clare E. Tuck in partial fulfilment of the requirements for the degree of MASTER OF ART IN GERMAN LITERATURE.

R.G. Whiting

Supervisor

Donald G. Bryce

Simon Richter

Date 24th Sept. 1987

DEDICATION

For Gavin, and for my parents.

ABSTRACT

This thesis attempts to show the gradual progression in E.T.A. Hoffmann's career from his concern with musical composition and painting, to an increasingly analytical approach to the writer's task and the creation of fiction.

The first Chapter introduces the topic, establishing the intrinsic link between E.T.A. Hoffmann's creative methods - writing fiction which mingles the fairy-tale element with the commonplace or "realistic" - and the dualism inherent in his own life.

Chapter Two examines the author's theoretical statements relating to the fundamental traits of his poetic process. This outlines the crucial principles according to which a poet or writer proceeds from his visions to the actual narrative work of fiction.

In Chapter Three these abstract theories are illustrated in practice, with particular reference to those works in which poet- and narrator-figures relate what is happening to them as they convey their mental images in words.

The fourth Chapter discusses those works in which the narrative voice plays an even more important role, interrupting the account of his fictional figures and events to reflect on the intentions and problems of his task as a writer.

Chapter Five, the conclusion, combines the effect of the above narrative techniques and evaluates the whole of Hoffmann's poetological activity in the light of the Romantic literary tradition.

ACKNOWLEDGEMENTS

I would like to express my sincere thanks and gratitude to Dr. Raleigh Whitinger for his constant encouragement and advice during the preparation of this thesis. Also, I would like to thank Dr. Manfred Prokop, Mrs. Elisabeth Eichmüller and Mrs. Hannelore Lederer for their tremendous help, support and kindness in the continuing battle with computer technology. My thanks also to the committee members, Dr. Gerwin Marahrens and Dr. Donald Bruce.

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Introduction

While the body of criticism concerning E.T.A. Hoffmann's many artist figures is vast, relatively few secondary contributions have concentrated specifically on the views of poetic creativity in his works. In the present study I shall analyse these views as they emerge above all in his short prose works, particularly in the collections Phantasiestücke in Callots Manier (1814/15) and Die Serapionsbrüder (1818-21). Reference will also be made to Der Sandmann and Die Jesuiterkirche in G., both of which appeared in Hoffmann's so-called Nachtstücke (1817), and to the "Märchen" Klein Zaches genannt Zinnober (1818) as well as to Prinzessin Brambilla. Other short stories relevant to the topic will be alluded to where appropriate. The conclusions established from such a study might then be related, in subsequent analyses, to Hoffmann's ideas on artistic creativity in general or be augumented by consideration of the major novels.

The relevant secondary literature which has contributed significantly to this topic can be divided into three groups. Firstly, there are those studies which provide a general overview of E.T.A. Hoffmann's narrative technique but often with specific reference to his best known stories, for example: Roland Heine's Transzendentalpoesie. Studien zu F. Schlegel, Novalis and E.T.A. Hoffmann,[1] Armand de Loecker's Zwischen Atlantis und Frankfurt,[2] and Fritz Martini's article "Die Märchendichtung E.T.A. Hoffmanns".[3] Hilde Cohn's work, Realismus und Transzendenz der Romantik, insbesondere bei E.T.A Hoffmann, although not recent, nevertheless contains useful comments on

Hoffmann's theory and practice as a writer.[4]

The second group consists of those critical studies concerned specifically with the author's theoretical ideas and principles of writing. Ilse Winter's book undoubtedly provides the most detailed analysis of the two collections, Die Serapionsbrüder and Phantasiestücke in Callots Manier, as well as some commentary on the idea behind the tale Des Vetters Eckfenster.[5] Lothar Köhn's work Vieldeutige Welt: Studien zur Erzählungen E.T.A. Hoffmanns und zur Entwicklung seines Werkes[6] is similar to Ilse Winter's, but also includes references to a small number of texts, for example to Ritter Gluck and Der Sandmann. Friedrich Schnapp[7] and Siegbert Prawer[8] in their respective studies of the Serapion-artists and the preface "Jaques Callot, continue to look only at the structure of the cycle collections and not at their content, i.e. at the stories themselves.

The third and largest group of critics whose studies are pertinent to this thesis, are those who discuss narrative intrusion/direct addresses to the reader, and the consequent ironic tone. The position of the reader is analysed most extensively by Barbara Elling,[9] and the role of the narrator by Raimund Belgardt, L.C. Nygaard and Martin Swales.[10] Relating particularly to the concept of irony, John Reddick's article "E.T.A. Hoffmann's Der goldne Topf and its Durchgehaltene Ironie"[11] is pertinent, as is Maria Tatar's discussion of reflection and Romantic Irony in Der Sandmann.[12] Giesela Vitt-Maucher concentrates on the tale of Klein Zaches in her discussion of a "Gebrochene Märchenwelt", but she also incorporates a number of useful points on the topic of "Ironie".[13] Behind all such studies,

however, lie the theoretical principles of Friedrich Schlegel[14] which are discussed in some detail by Ingrid Strohschneider-Kohrs.[15]

It is noteworthy, above all, that although some of these secondary works deal with Hoffmann's principles as a writer of fairy-tales, few (apart from Lothar Köhn's and Roland Heine's) actually relate theory to practice and none of them undertake a chronological analysis of the two strands to reveal a certain progression and development, as has been attempted in this thesis.

The problems of art and the artist and Hoffmann's concept of reality are admittedly broad, but pertinent themes in relation to this discussion. My intention, however, will be, firstly, to examine those stories in which major figures develop as actual poets or writers, or those in which a narrator expresses ideas on the problems and potentials of his poetic writing, either in the form of a reflecting voice, or as a fictional character. Frequently in Hoffmann's works there appears a narrator who is initially a chance observer of events, but who then later becomes actively involved in, or affected by, that action. A fair number of works exemplify this technique, in particular the author's first work of fiction, published in 1809, Ritter Gluck. Eine Erinnerung aus dem Jahre 1809. In this work both the protagonist, Gluck, and the first-person narrator, whose perspective is rather more personal than omniscient, represent artist-figures, and it is through this artist/narrator that Hoffmann reveals to a certain extent the origins and circumstances of his poetic act. This section of my discussion will also deal with the leitmotifs and themes which commonly recur in the portrayal of the poetic process: Instances of intoxication either

through alcohol or heightened emotions, for example, and the theme of flight or journey.

Following this section I shall attempt to develop the topic further by highlighting the relationship between narrator and author, taking as my most important example Der goldne Topf, from the Callot Manier collection. Here the narrative voice presenting the artist- figures, Anselmus and Lindhorst[16], is of such prominence as to elevate the process of narration to a major theme. The narrator has become involved in the course of events but also as author of Der goldne Topf seems closely related to Hoffmann. The effect is such that the reader is shown the difficulties a creator of fiction must face, not only through the figures of Anselmus and Lindhorst, but also through the narrator who acts as mediator between the story's events and the audience. Special attention will be paid to such instances of narrative intrusion in which the reader is addressed directly regarding the intent of narration and to those episodes which entreat the reader to believe what is happening. The critical distance and reflection resulting from this narrative technique will be discussed in connection with the theories of Friedrich Schlegel - on "Poesie der Poesie" and "romantische Ironie" for instance[17] - which concern that conscious effort on the author's part to exhibit, and thus awaken in the reader, a critical awareness of the relationship between that poetic, imaginative work, and the greater whole of reality of which his fiction is but a limited expression.

This thesis' approach to these problems of poet-figures and narrators will proceed through three central chapters, organized as follows: The discussion of short prose works will be preceeded by a

chapter concerning Hoffmann's theoretical statements on poetic activity. It shall attempt to distill from Hoffmann's important theoretical comments basics of his theory on the poetic process. In particular I shall draw on his letters and conversations touching on the topic[18] as well as the analytical discussions amongst the artist friends in the framework of the cycle Die Serapionsbrüder, which (based as it is upon Hoffmann's own discussions with his friends)[19] would appear to include major features of the poetical ideas fundamental to the short stories. In this opening chapter I shall be looking at the tale of Der Einsiedler Serapion and the ensuing debate on Das Serapiontische Prinzip[20] since both provide a clearer idea of Hoffmann's principles of fictional narrative. Crucial in such an analysis is the question how, according to these theoretical statments, the poet or writer is believed to proceed from his visions to his creations of a fictional narrative. First-hand interaction with commonplace reality becomes an important issue regarding creative writing since, in Hoffmann's eyes, this is the prerequisite for any meaningful or effective presentation of a story. The two strands of that process - a visual experience and the imaginative transformation of it into a tale of adventure - represent the core of Hoffmann's aims, namely: To portray, in a manner convincing as well as entertaining, the merging of two worlds - the concrete environment of the everyday, from which the initial vision originates, and the wondrous elements of his "Phantasie", or imagination.

In both subsequent chapters I shall then illustrate how this abstract theory is approached in practice, progressing through certain types of Hoffmann's tales. The third chapter will be concerned primarily

with poet-figures and first-person narrators who relate what is happening to them. Finally, in the fourth chapter I shall discuss those stories in which the narrative voice plays a still more prominent role, interupting the account of his fictional figures and events to reflect, by addressing his "dear reader", on the intentions and problems of his creative process.

Prominent in Hoffmann's life and his own emergence as a poet is essentially this same problematic relationship between the artistic vision and mundane reality, between the poet's fantasy and the rational everyday. Throughout his artistically diverse career, the 1776-born Hoffmann struggles to reconcile the demands and duties of his position as lawyer and Prussian civil servant with his inclinations towards composing , writing and painting. The memory of those experiences and the constant struggle to make a living from his artistic talents influenced much of his fictional writing. In a letter of 1796 to his life-long friend, Theodor Gottlieb Hippel, Hoffmann expressed himself regarding the conflicting roles he had to play:

> Die Wochentage bin ich Jurist und höchstens etwas Musiker, Sonntags am Tage wird gezeichnet und Abends bin ich ein sehr witziger Autor bis in die späte Nacht-.[21]

Although Hoffmann struggled to reconcile his many-sided artistic nature with his duties as a lawyer, it was often this very struggle which prompted him to put pen to paper and influenced the tenor and content of his works. His most successful phase, as far as his literary career was concerned, were those decisive years spent in Bamberg between 1807 and 1813. Initially he was orchestral conductor but later he

sampled almost every job associated with the theatre, composing, painting, designing, producing, and even selling tickets at the door.[22] Within the first few years there, his brief but remarkably prolific career as a writer had begun. Although he did not actually begin writing until he was in his thirties, Hoffmann produced some fifty short stories/fairy-tales and two novels. Behind the masks of his first wo artistic-figures, Gluck and Kreisler[23], Hoffmann was still struggling with a personal problem - reconciling his imaginative and artistic inner nature with the outer philistine world of bourgeois materialism. Within the realm of his imagination, Hoffmann also shows in such fairy-tales as Der goldne Topf, Klein Zaches and Prinzessin Brambilla how that other sphere can provide freedom and solace to the more sensitive soul. The issue however (as illustrated in Das Serapiontische Prinzip) is not simply to escape that bourgeois existence but to indicate through the narrator-figure, who is rooted in the everyday, that a balance between the two is of greatest importance.

It is interesting to note how Hoffmann reflects his personal battle between the realms of fantasy and reality not only in the stories themselves, but also in the cycle collections, Die Serapionsbrüder and, to a certain extent, in Phantasiestücke in Callots Manier. The narrative structure of each tale of fiction involves a certain amount of theorising and reflecting on the characters and events being portrayed; this distancing effect is then paralleled in the cycle-collection as a whole which then sets out to present us with critical reflection and theories in the form of discussions. For this purpose, Hoffmann has his artist-friends each present their stories at the meetings, allowing and

indeed encouraging critical comments and various explanations before and after each reading. As a result the reader never remains in the realm of fantasy for very long before a voice reminds him that he is the "dear reader", experiencing a fictional work about which a very realistic and critical mind is agonizing theoretically.

Doubtless then, Hoffmann's narrative methods reveal, in different ways, an awareness of the poetic act itself and it is this aspect of his creativity which will be analysed in the present study.

Endnotes to Chapter One

1. Roland Heine, "Die fiktionale Reduktion der Transzendentalpoesie. E.T.A. Hoffmanns Märchen Der goldne Topf", Transzendentalpoesie. Studien zu Friedrich Schlegel, Novalis und E.T.A. Hoffmann, (Bonn: Bouvier, 1974).

2. Armand de Loecker, Zwischen Atlantis und Frankfurt. Märchendichtung und Goldnes Zeitalter bei E.T.A. Hoffmann, (Frankfurt am Main: Peter Lang, 1983).

3. Fritz Martini, "Die Märchendichtung E.T.A. Hoffmanns", Der Deutsch Unterricht, 7 (1955), pp.56-77.

4. Hilde Cohn, Realismus und Transzendenz der Romantik, insbesondere bei E.T.A. Hoffmann, (Diss. Heidelberg: Carl Winter, 1933).

5. Ilse Winter, Untersuchungen zum serapiontischen Prinzip E.T.A. Hoffmanns, (The Hague: Mouton & Co., 1976).

6. Lothar Köhn, Vieldeutige Welt. Studien zur Struktur der Erzählungen E.T.A. Hoffmanns und zur Entwicklung seines Werkes, (Tübingen: Max Niemeyer, 1966).

7. Friedrich Schnapp, "Der Seraphinenordnen und die Serapionsbrüder E.T.A. Hoffmanns." Literaturwissenschaftliches Jahrbuch. (Berlin: Duncker & Humbolt, 3 1962), pp.100-111.

8. Siegbert Prawer, "Die Farben des Jaques Callot. E.T.A. Hoffmanns Entschuldigung seiner Kunst." Wissen aus Erfahrung. Werkbegriff und Interpretation heute. Festschrift für Hermann Meyer zum 65. Geburtstag. (Tübingen: Max Niemeyer, 1976), pp.392-401.

9. Barbara Elling, Leserintegration im Werk E.T.A. Hoffmanns, (Stuttgart: P. Haupt, 1973).

10. Raimund Belgardt, "Der Künstler und die Puppe. Zur Interpretation von Hoffmanns Der Sandmann," German Quarterly, 42 (1969), pp.686-700.
L.C. Nygaard, "Anselmus as Amanuensis: The Motif of Copying in Hoffmann's Der goldne Topf", Seminar, 18/19 (1982/3), pp.78-104.
Martin Swales, "Narrative Accomodations: The Legacy of the Romantic Künstlernovelle", Echoes and Influences of Modern Romanticism. Essays in Honour of Hans Eichner, ed. Michael S. Batts, Anthony W. Riley, Heinz Wetzel, (New York, Berne, Frankfurt am Main, Paris: Peter Lang, 1987), pp.183-194.

11. John Reddick, "E.T.A. Hoffmann's Der goldne Topf and its Durchgehaltene Ironie", Modern Language Review, 71 (1976), pp.577-594.

12. Maria Tatar, "E.T.A. Hoffmann's Der Sandmann. Reflection and

Romantic Irony", Modern Language Notes, 95 (1980), pp.585-607.

13. Giesela Vitt-Maucher, "E.T.A. Hoffmanns Klein Zaches genannt Zinnober: Gebrochene Märchenwelt," Aurora: Jahrbuch der Eichendorff Gesellschaft, 44 (1984), pp.196-212.

14. Friedrich Schlegel, Kritische Friedrich Schlegel-Ausgabe. Charakteristiken und Kritiken I, ed. Ernst Behler, Jean Jaques Anstett & Hans Eichner, (Zürich: Ferdinand Schönich, 1967).

15. Ingrid Strohschneider-Kohrs, "Die romantische Ironie," Die deutsche Romantik. Poetik, Formen und Motive, ed. Hans Steffen, (Göttingen: Vandenhoeck & Ruprecht, 1967).

16. Anselmus is the central figure in the fairy-tale Der goldne Topf and he represents an artist-figure as he attempts to master caligraphy under the watchful eye of the Archivarius Lindhorst.

17. August Wilhelm Schlegel (1767-1845) was the first theorist of the concept of "romantische Ironie" and became known as the propagonist of the first Romantic school, presenting his own thought and that of his brother, Wilhelm, in systematic and coherent form. The details of this theory of "Ironie" will be discussed briefly in the fourth chapter of this study.

18. These letters will be drawn from the series edited by Friedrich Schnapp, entitled Dichter über ihre Dichtungen. E.T.A. Hoffmann. (Munich: Heimeran Verlag, 1974).

19. This circle of Hoffmann's artist friends was formed in Berlin in 1816 and also hosted other well-known authors as guest members; for example, Friedrich de la Motte-Fouque and Joseph von Eichendorff. The origin of the name "Serapion" will be discussed in the next chapter.

20. Der Einsiedler Serapion appeared in the very first of the four volumes of the cycle-collection, Die Serapionsbrüder (1818-21) and the ensuing discussion among the artists establishes the group's principles, known as Das Serapiontische Prinzip.

21. Dichter über ihre Dichtungen. op. cit. p. 292. Hoffmann's letter to Hippel, Königsberg, 23.1.1796.

22. Harvey W. Hewett-Thayer. Hoffmann: Author of the Tales. (Princeton: Princeton University Press, 1948), p.150.

23. Ritter Gluck; Eine Erinnerung aus dem Jahre 1809 was Hoffmann's first work of fiction proper and was followed in 1810 by Des Kapellmeisters Johannes Kreisler, musikalische Leiden.

2. Hoffmann's Poetological Statements on Fiction and his Narrative Theories.

2.1. Introduction.

Hoffmann's theoretical statements are contained in two main sources: Firstly, in the author's letters and essays in which he expresses his own personal intentions with a specific work or his interpretation of poetry, and, secondly, in the framework passages of the cycle-volumes where he has one or more invented theoretician or story-teller make statements about the poet and his actions. In looking at this body of writing I hope to distill from these theories rather than from actual stories[1] basic views of E.T.A. Hoffmann the theoretician, and particularly to establish how he sees the writer of fiction or the poet. Above all, the chapter will deal with the writer's progress from his vision to his fictional creation, and with his method of reconciling the fantastic elements of the one sphere with the realistic, everyday facets of the other.

The documents containing such theoretical utterances will be discussed chronologically, beginning with Hoffmann's early volume of stories, Phantasiestücke in Callots Manier (1814-15), which opens with a foward entitled "Jaques Callot", explaining the reason for the title of the volume. The subsequent collection, Die Serapionbrüder, published in four volumes consecutively during the years 1818-1821 includes detailed discussions among the invented story-tellers concerning the quality of the particular stories and the methods of creativity and literary expression. Also contained in this more extensive volume is a discussion on the art of writing fairy-tales, entitled "Gespräch über die moderne Märchendichtung", and an examination of the ideas expressed here will

shed further light on the author's theories. Finally, another central principle of writing fiction is exemplified in one of Hoffmann's later works, Des Vetters Eckfenster, published in 1822 and an analysis of that work will form the final section within this second chapter.

Examined in this order, the recurring problems or themes regarding poetic activity will come to light, as will their importance and relevance to the author's own experiences in life. As well as those works noted above, this chapter will also include extracts from those letters of Hoffmann which provide evidence of his personal views on written creativity and the difficulties facing him as an artist of many gifts: The concern, for example with an everyday reality which ignites images in the poetic imaginaton, intimating a hidden, higher dimension and the struggle to reconcile two such opposing realms. Relevant background information concerning Hoffmann as both an artist and an individual will provide an appropriate introductory discussion to the principles developed in the "Callot Manier" collection.

2.2. The Author's Background and Influences.

E.T.A. Hoffmann faced various struggles and difficulties, foremost among them being the conflict between being rooted in workaday convention and his desire to heed his lofty inclinations born of a vivid imagination. The fantastic visions, inspired by the "real" world, resulted from the perceptions of his surroundings and had to be filtered through his artistic imagination in order to produce some sort of art form - be it graphic, musical or poetic. Evidence of Hoffmann's struggle between his duties and his inclinations can be found in his letters and diaries. For example, in an entry of May 1804, he wrote: " Wo nehme ich

Muße her um zu schreiben - zu zeichnen - zu komponieren?"[2] At this time(1804), Hoffmann was living more comfortably as a civil servant in Warsaw, but he still had to strive for a balance between his legal duties and his artistic tendencies. One critic describes Hoffmann as "(...) the first musician of note who became an author of international fame and at the same time cultivated his ability as painter and caricaturist while maintaining a respected place as a legal official.[3]

Hoffmann suffered from internal conflicts as well as from the struggle of the inner versus the outer world. In the realm of artistic activity, he was also battling with the polarity between his vision and its communicative form, with the step from his secret inner chaos to some tangible result- opera, picture, or book - which could work on the imagination of his reader.In his letters and diaries he made frequent allusion to these immense difficulties facing him in deciding on which of his talents to concentrate his energy: music and composition, or painting and drawing, or creative writing. In a letter to Hippel of February 1804, Hoffmann refers to the colourful world and magical visions which inspired him, but admits uncertainty regarding the actual result in art form of his inspiration:

> Mein Versetzungsreskript ist noch nicht da, und ich muß arbeiten - arbeiten in der exaltirten Stimmung, worin mich Deine Gespräche, die <geplante> Reise nach Italien und Deine Handskizzen von Perugino und Raphael gesezt haben (...) - eine bunte Welt voll magischer Erscheinungen flimmert und flackert um mich her - es ist als müsse sich bald 'was groβes ereignen - irgend ein Kunstprodukt müsse aus dem Chaos hervorgehen! - ob das nun ein Buch - eine Oper - ein Gemälde seyn wird - quod diis placebit- ...[4]

From the point of view of his artistic successes and productions, Hoffmann's life falls into two distinct halves. From 1804 until early

1813, he directed his attention towards music, and from 1813 until his premature death in 1822 his major achievements were in literature. It was indeed music which first inspired his remarkably fertile imagination and his creative spirit. He composed chiefly ecclesiastical works and incidental music to plays, and began writing as a music critic. Just as he had attempted to make an impression on the hearer as a musician, so too he wrote fiction in the hope of eliciting an emotional response. The late Romantic's fairy-tales are described by one biographer as follows: "(...) they were to produce an effect on the human spirit, on the emotions, on the imagination."[5] From the author's own words on the subject, it is evident that while entertaining the reader, Hoffmann's aim consisted of an appeal to the reader's imagination and indeed to such an extent that the latter would continue to fantasize alone. This intention is expressed in a conversation between Hoffmann and his artist friends after his reading of the tale Die Automate which appeared in the second volume of Die Serapionsbrüder in terms that call to mind the effects of a musical work:

> Ich meine, die Fantasie des Lesers oder Hörers soll nur ein paar etwas heftige Rucke erhalten und dann sich selbst beliebig fortschwingen, (...) Nichts ist mir mehr zuwider als wenn in einer Erzählung, in einem Roman der Boden, auf dem sich die fantastische Welt bewegt hat, zuletzt mit dem historischen Besen so rein gekehrt wird, daß auch kein Körnchen, kein Stäubchen bleibt, wenn man so ganz abgefunden nach Hause geht, daß man gar keine Sehnsucht empfindet, noch einmal hinter die Gardinen zu kucken.[6]

Thus as both a "person" and an "artist", and especially as a "writer", Hoffmann's fundamental problem is the search for structures and forms to relate the Dionysian[7] chaos of his inner fantasy world to reality, and to aim in the real world, at the elusive target of the

recipient's imagination.

With this concern with a modern world divided between the rational everyday and the inner realm of fantasy, and with the hope for the creative artist's potential as a mediator, E.T.A. Hoffmann, as is well known, is clearly a child of the "Romantic Movement" to which he belongs not only chronologically but also by way of contacts and influences.

The image of the poet emerging in Early Romantic writings, especially those by Wackenroder, Tieck, Novalis, and Friedrich Schlegel, was evidently of some influence on Hoffmann. The former two writers, with their accounts of artist types such as Joseph Berglinger, who struggle to communicate their wondrous visions in the real world, were known to Hoffmann as well as the latter two, with their vision, in theory and practice, of the poet as successful mediator of a religious dimension, as a Messiah or Saviour - figure. Novalis' Hymnen an die Nacht, which expresses the author's crisis after the tragic death of his love, Sophie von Kühn, in March 1797, illustrates this kind of vision. Aspects of Novalis' Heinrich von Ofterdingen, such as the depiction of a mythological dream/fairy-tale realm as representative of the poet's longed-for paradise, are echoed in Hoffmann's stories, particularly in the Atlantis world of Der goldne Topf.

In particular, however, E.T.A. Hoffmann's life and works suggest a kinship with the more problematic vision of the artist character, such as Tieck presents in his tales, Der blonde Eckbert and Der Runenberg: the tendency there is to acknowledge that high ideal of the artist as Messiah-like visionary and mediator of a dimension beyond the worldly, while focusing on the potentially catastrophic struggle of the Saviour's to retain and convey his visions. Similar tendencies can also be found

in Wackenroder's work, especially in Herzensergießungen eines kunstliebenden Klosterbrüders, where the character of Berglinger shows a distinct resemblance to Hoffmann himself - the musician turned writer, trying to reconcile his artistic inclinations in his worldly affairs and above all trying to communicate his visions.

Overall then, Hoffmann's conception of the artist, the divine mission of the poet, owes much to his predecessors, especially Tieck and Wackenroder. One may note also that Hoffmann's Die Serapionsbrüder collection is modelled in format on Tieck's Phantasus (1812-17), containing a compendium of his shorter prose, interspersed with critical commentary. The personal struggle in Hoffmann's life, his focus on the reality-link in his writings, appear as a continuation of the Wackenroder and Tieck line.

The influence on Hoffmann's writings of his early devotion to music should also be noted. There is evidence in both his letters and fictional writings which reveals a general awareness of the senses and of perception. As both musician and painter initially, Hoffmann was evidently gifted with acute auditory and visual senses. The musician in Hoffmann can indeed be detected in his writings - frequent use of repetition, onomatopoeia and cadences in his sentences. But more demonstratively one finds Hoffmann-the-painter in his writings, particularly when one examines the vivid and sometimes quite incredible visions described and depicted in his stories. The importance of the art of painting and sketching for Hoffmann as a man of letters is clarified in his first publication of collected stories.

2.3. The preface: "Jaques Callot" in Phantasiestücke in Callots Manier.

E.T.A. Hoffmann entitles his first cycle volume after a French artist, Jaques Callot (1592-1635), who became famous in particular for his drawings taken from real life - from the "Volksleben" - and the association with this artist is explained in the preface.

Hoffmann praises Callot's "strange, fantastic pictures" for their boldness, liveliness, naturalness and elemental splendour. Callot's art is said to go beyond the rules of painting since his works comprise reflexes of the most fantastic illusions, at the root of which always lies the imagination - or "Phantasie": "(...) seine Zeichnungen sind nur Reflexe aller der phantistischen wunderlichen Erscheinungen, die der Zauber seiner überregen Phantasie hervorrief"(I;9). The author held this talented artist in great esteem also because of a unique ability:

> Kein Meister hat so wie Callot gewußt, in einem kleinen Raum eine Fülle von Gegenstände zusammenzudrängen, die ohne den Blick zu verwirren, nebeneinander, ja ineinander heraustreten, so daß das Einzelne, als Einzelnes für sich bestehend, doch dem Ganzen sich anreiht. (I;9)

In his article on Jaques Callot, Siegbert Prawer refers to the most important linking traits between the artist's work and Hoffmann's writing: "(...) die Fantasie und das Fantastische, das Wunderliche und das Wunderbare, Originalität und geprägte Form, die Ironie, das Groteske und das Skurrile, gewöhnliche Welt und inneres romantisches Geisterreich."[8]

Not only does the preface on Jaques Callot include the approval of taking visions from actual life, appealing to a vivid imagination and placing something familiar in a new light, but irony and the grotesque are also mentionned in the text.[9] Even the "Bauerntanz" seems to

glimmer with a romantic originality so that a sensitive soul will be affected by it. Irony is also relevant to the "romantische Originalität" of Callot's drawings, in particular those entitled "Tentations de Saint Antoine" in which he links animal and human forms, thereby deriding - at least in the opinion of the travelling enthusiast[10] - the wretched activities and struggles of man in his everyday existence (I;10). The result is expressed as follows:

> (...) und so enthüllten Callots aus Tier und Mensch geschaffene groteske Gestalten dem ernsten, tiefer eindringenden Beschauer alle die geheimen Andeutungen, die unter dem Schleier der Skurrilität verbogen liegen. (I;10)

Critics usually agree that Hoffmann's works of fiction within the Callot cycle-volume, such as Der goldne Topf, Nachricht von den neuesten Schicksalen des Hundes Berganza and Nachricht von einem geliebten jungen Mann, exemplify precisely these characteristics of the etcher's work and also apply to the later tales in Hoffmann's oeuvre.

Before the narrator of the Jaques Callot preface makes his final point, there is a pertinent comment on Callot's life-style, reflected in his drawings; "Es ist schön, daß Callot ebenso kühn und keck, wie in seinen festen kräftigen Zeichnungen, auch im Leben war" (I;10). The criteria pertaining to both Hoffmann the writer and Callot the painter bear close resemblance to those of the "Märchen". Callot's art links with the graphic and pictorial visions in Hoffmann's tales - the importance of actual first-hand experience, colourful and hectic scenes from everyday life - all these are expressed by both men. In painting "real" things, Callot also selects and creates a bizarre context, just as Hoffmann places the familiar in an unfamiliar light.

The preface culminates in a question directed at the reader or

receiver of the text; can one address the author of this text as a true writer? That one might excuse him for his art seems to be taken for granted:

> Könnte ein Dichter oder Schriftsteller, dem die Gestalten des gewöhnlichen Lebens in seinem inneren Geisterreich erscheinen, und der sie nun in dem Schimmer, von dem sie dort umflossen, wie in einem fremden, wunderlichen Putze darstellt, sich nicht wenigstens mit diesem Meister entschuldigen und sagen, er habe in Callots Manier arbeiten wollen? (I;10)

In a letter to his publisher, Kunz, Hoffmann wrote of the necessity at times to excuse his art because of "die besondere Art, wie der Verfasser die Gestalten des gemeinen Lebens anschaut und auffaßt".[11] According to Prawer, this is aimed precisely at the Callot-essay in which the final open-ended question does nevertheless indicate a certain direction towards an answer; whatever is communicated concerning the inner, romantic, spiritual realm also remains grammatically in the interior.[12] Callot's influence as a whole is summed up by Ilse Winter as being based on three criteria: clarity of composition, the abundance of the figures and the strange "Phantastik aller Erscheinungen".[13] The author's own opinion on the Jaques Callot dedication was expressed in a letter to his publisher in September of 1813:

> Den Zusatz "in Callots Manier" hab' ich reiflich erwogen und mir dadurch Spielraum zu Manchem gegeben. Denken Sie doch nur an den Berganza - ans Märchen usw. - Sind denn nicht die Hexenszenen so wie der Ritt im Hausplatz wahre Calottina?[14]

This contribution to the cycle volume not only provides foundation and justification for the title itself, "Phantasiestücke", it also portrays a certain programme which unites the various tales within the collection and, of course, the Jaques Callot conceptions are valid for a fair number of Hoffmann's other stories.

At this early stage of E.T.A. Hoffmann's career as a writer, it can be said that he was still searching for reference points and yard-sticks. A comparison between this cycle-volume and that of the Serapionsbrüder, published in its first volume three years later, reveals how Hoffmann has progressed. The Serapion volume includes sharper profiles of many of his figures and makes references to other writers - contemporary and classical - such as Goethe, Shakespeare, Jean-Paul, Novalis, Tieck, and Kleist. Whereas the Callot-volume illustrates a certain experimenting with narrative methods, the more extensive and larger group of stories reveals a perfecting of fictional-writing techniques which had come to light in previous stories. Thus Hoffmann was not grasping for new means of portrayal in Die Serapionsbrüder, as some critics claim, but he shows a successful progression in his writing career. Having begun with a"manner" related to drawing - the envisioning of scenes - he goes on to the more music-like "Märchen", or fairy-tale.

2.4. Die Serapionsbrüder

2.4.1. Background

Ideas and views regarding narrative techniques in the prose writings of E.T.A. Hoffmann are most fully discussed in the Serapion-cycle, (1818-21). It is here that we can establish the author's aims behind his methods.

After Hoffmann had settled in Berlin during September 1814, a select group of artist-friends began meeting together on a regular basis, either in coffee-houses or in private residences. The four most faithful

members of the artist-circle besides Hoffmann himself, were Julius Eduard Hitzig, Carl Wilhelm Contessa, Adalbert von Chamisso, and David Ferdinand Koreff. There were also various guest-members, as already mentioned, such as Hippel, Friedrich de la Motte Fouqué and Joseph von Eichendorff, who joined the meetings occasionally.[15] Although the group dispersed after two years, mainly due to Chamisso's travel plans, the artists renewed their friendship later in 1818.

The title and structure of this collection of stories was agreed upon only during the second phase of meetings. It was discovered coincidently that on the very day of that first meeting during the second phase, November 14th, 1818, the holy saint's day of the Egyptian ascete and martyr, Serapion Sindonita, was celebrated. Thus the name "Serapionsbrüder" evolved.[16]

Contained in the four volumes are all manner of stories and fairy-tales, twenty-five in total, which are framed by the account of commentary and discussion taking place among this group of artists. Hoffmann seems intent on qualifying his short stories by including ante- and post-narrative views on certain poetological issues. The effect of these fictional conversations among the artists is initially one of distancing, that is: instead of presenting his audience with isolated fairy-tales, Hoffmann surrounds them in a framework of comments to be considered by the reader in the light of the fictional work. The reader is <u>not</u> left to ponder alone, but is constantly reminded of the narrator's or author's analytical frame of mind. Friedrich Schnapp suggests that Hoffmann decided to produce a collection of stories like this, read by different people and linked by conversation and discussion in order to please his publisher, Georg Reimer.[17] On the other hand,

Ilse Winter suggests that Hoffmann wished to pay tribute to his associates by introducing them in his works with the aim of portraying their so-called "Zusammensein", or "togetherness".[18] Although these may be the original reasons and justifications, Hoffmann, following those impulses, uses the format of the frame to voice his own critical reflections on the poetic process. As noted earlier, Tieck's Phantasus was of significance to the extent that Hoffmann wished to order and express his aesthetic theories and thoughts about a writer's problems.[19]

In the opening paragraph of the first volume of Die Serapionsbrüder, the artists - Lothar, Ottmar, Cyprian, Theodor and Vinzenz - discuss the formation of a club (V;5). Such an introduction provides quite a realistic setting for the reader-audience, and apart from noting the actual criticisms and compliments after each tale, the framework forms another story in itself. The characters are portrayed realistically, their arguments and concerns shape their personalities. It is difficult, however, to be absolutely sure of Hoffmann's characterisation of his artist-figures, members of the Serapion club, and critics vary in their interpretations. Friedrich Schnapp suggests that Hitzig was personified in the character Ottmar, Contessa in Sylvester, and Koreff in Vinzenz.[20] Hoffmann himself, according to this same critic, was represented by three characters; in Theodor as the musician, in Cyprian as the mystic, and in Lothar as the ironist. This certainly seems faesible when one considers the various comments made throughout the cycle.

The general importance of dualism in Hoffmann's poetological thought and, as already noted in the introduction to this chapter, in the

author's personal experiences, is established very early on in this collection of works. The opening paragraph of discussion, led by Lothar, expresses the concern with inner thoughts and fancies conflicting with actual external happenings (V;5). Dreams and the tendency towards introspection become an important issue. Lothar in particular, expresses the futile attempt to re-live or preserve the past and the agony of being haunted by memories as if they were dreams, making us unsure of what has really happened and what has been imagined: "Nur die Schattenbilder des in tiefer Nacht versunkenen Lebens bleiben zurück und walten in unserem Innern und necken und höhnen uns oft, wie spukhafte Träume" (V;5).

Gradually, the conversation leads up to the exemplary tale of Der Einsiedler Serapion, from which the main principles of writing are established. Although these views are expressed to a certain extent by fictional artist-figures, Hoffmann is clearly using his own experiences and those of his colleagues to voice his main concerns as a writer. However, before the "Serapion Principle" can be fully understood and clarified, a summary of the tale itself is necessary.

2.4.2. The tale.

In the framework-story it is Cyprian who tells the tale, explaining, before he starts, that his personal involvement in the course of events is one which he condemns. He appears to be quite ashamed of his behaviour. He also warns against the dangers of philistinism - a comment that proves relevant to much of Hoffmann's work since many of his characters turn out to be philistines and are always portrayed in a negative light. The personal experience being related here by Cyprian is

crucial because this method of telling a story occurs frequently in Hoffmann's writings and also recalls Callot's method of painting or sketching scenes from the "real" lives of ordinary people.

The story concerns a man of gentle and pious nature but also of great intelligence and poetic talent, who lived as a hermit and claimed to be the monk, Priester Serapion, who had in fact died as a martyr hundreds of years before. Local people, therefore, consider him to be quite mad, despite his placid and loving nature. After his initial meeting with the eccentric, Cyprian attempts to understand insanity through reading and pondering, but all proves quite useless when he discusses the problem with the hermit. As a so-called "Dichter" possessing "eine feurige Phantasie" (V;27), and a spirit which could penetrate the very depths of nature, Serapion explains himself using Cyprian's own weapon - "Vernunft", his reason. It soon becomes clear from the discussion that the monk is totally caught up in the life of the spirit and has distanced himself from the real physical world. He speaks in favour of extreme loneliness since only then can a pious nature unfold, and he advises Cyprian not to fear it (V;25). As Cyprian listens to the monk's stories, there is a mirroring of the reader's position; as we sit comfortably and firmly in our reality, the so-called "glühende Leben" of the narrative has the power to carry us off in our imaginations and then to release us back into that reality at the end of the story.[21] Cyprian says:

> Serapion erzählte jetzt eine Novelle (...). Alle Gestalten traten mit einer plastischen Rundung, mit einem glühenden Leben hervor, daß man fortgerissen, bestrickt von magischer Gewalt, wie im Traum daran glauben mußte, daß Serapion alles selbst wirklich erschaut. (V;27)

It is also interesting to notice that not only is the reader's situation mirrored here, but also that of the Serapion-group. Just like Cyprian listening to the monk, they are sitting listening to an incredible tale told by their own colleague. At this point the structure of a framework within a framework becomes more complex than the original single "Rahmengeschichte" (framework-story). In fact the repeated mirroring technique reminds one of Goethe's phrase, "wiederholte Spiegelungen",[22] and also of Friedrich Schlegel's idea expressed in the Athenäum as follows:

> Nur sie [die Poesie] kann gleich dem Epos ein Spiegel der ganzen umgebenden Welt, ein Bild des Zeitalters werden (...). [Poesie kann] poetische Reflexion immer wieder potenzieren und wie in einer endlosen Reihe von Spiegelungen vervielfachen.[23]

2.4.3. The Principle.

The framework discussion among the Serapion-club members concerns their central principle. From this a theory evolves on how a poet or writer proceeds from real experience to the inner vision it triggers, and how he relates that element - the vision - to reality.

As Ilse Winter points out, all critics agree upon the main issue of the "Gespräch über das Serapiontische Prinzip"[24]. The essence of the principle consists of the synthesis between :Phantasie" and "Wirklichkeit", imagination versus reality.[25] It is revealed in the discussion that the goal of a writer or poet is the creation of an image or vision originating from some experience in the real world. To narrate his adventure in any meaningful way requires the merging of experiences of reality, with the fantasies, dreams and illusions which belong to the inner nature of man.

At the beginning of this discussion (V;56), Lothar, drawing

attention to the date, November 14th - the holy day of Saint Serapion Sindonitus - proposes the toast and admires the monk for his instability of mind, "weil nur der Geist des vortrefflichsten oder vielmehr des wahren Dichters von ihm ergriffen werden kann" (V;60). He then continues by comparing the writer with a seer ("Seher"), claiming that, although we often doubt the existence of such prophet-figures, so too we doubt the existence of the writer, yet both bring the message of a higher realm to those who will listen. As he questions the reason behind second-rate works of literature, the main theory evolves: A poor story can only be the result of a poor narrative, and this signifies that the writer has not actually envisioned that about which he is writing. Lothar continues:

> (...) daß die Tat, die Begebenheit, vor seinen <u>geistigen Augen</u> (my emphasis) sich darstellend mit aller Lust, mit allem Entsetzen, mit allem Jubel, mit allen Schauern, ihn nicht begeisterte, entzündete, so daß nur die inneren Flammen ausströmen durften in feurigen Worten. (V;60)

Thus the crucial idea is as follows: Any effort on the part of the author to make the reader believe what he himself cannot believe is futile because he did not experience it.[26] The Serapion-figure is praised for being "ein wahrhafter Dichter" (V;60), for the precise reason quoted above. He possesses the ability to communicate that vision or emotion which he really experienced and thereby to apprehend his audience's heart and soul. Lothar pities the monk, however, for his one failing - his lack of "Erkenntis der Duplizität" (V;60), that is, the recognition of the dual nature of existence and the delicate balance required to remain coherent. This Serapion rule is termed by Ilse Winter as "Hebelwirkung": Within us there exists an inner world and the

spiritual strength to see that world in all its splendour. However it is the worldly sphere in which we are caught that acts as the lever, or "Hebel".[27]

As for the hermit himself, the lack of such recognition of the dualism of existence has resulted in his exclusive orientation around the inner, spiritual existence. Thus he has no point of contact whatsoever with the outside world and has never experienced the so-called "Hebelwirkung", or "lever-effect".[28] Lothar then describes Serapion's life as being "wie ein steter Traum" from which he most certainly would not wake to find himself "in dem Jenseits" (V;61). Despite this imbalance within his perspective, the monk is proclaimed by the artists as their "Schutzpatron", their model "Dichter", and the rule they intend to follow relates to his "Sehergabe" (V;62). Before each story is read, the artist concerned must scrutinize his act of poetic creativity to ensure that he genuinely experienced, or saw that which he has undertaken to communicate. Lothar expands here:

> Wenigstens strebe jeder recht ernstlich danach, das Bild, das ihm im Innern aufgegangen, recht zu erfassen mit allen seinen Gestalten, Farben, Lichtern und Schatten und dann, wenn er sich recht entzündet davon fühlt, die Darstellung ins äußere Leben zu tragen. (V;62)

Thus the principle of the Serapion-artists is established, but not without recourse to the hermit's "Wahnsinn" and the negative trait resulting from this - an excessive concentration on the spirit, or "Geist". The implication of Lothar's previous criticism amounts to a warning to the group of artists. Moderation must always be exercised in order to achieve the crucial balance between the two opposing forces. As Serapion and indeed Cyprian exemplify, an excess on the one side of the

scales causes problems. Cyprian makes extensive use of written psychological studies in the hope of understanding the monk by way of his reason alone. Both characters stand at extremes and as such they serve, in a didactic sense, as an example to both writer and reader of how important it is to find a balance between the real world and one's imagination.[29] Cyprian's over-emphasised reasoning and academic research brings in the so-called philistine element, and this above all, the artists must strive to avoid.[30] Admittedly, according to Lothar, a hint of the philistine is acceptable from time to time, but the ultimate agreement among the artists is simplified by the narrator of the framework story as follows:

> [sie] gaben sich das Wort, der Regel des Einsiedlers Serapion, wie sie Lothar sehr richtig angegeben, nachzuleben, wie es nur in ihren Kräften stehe, welches dann, wie Theodor sehr richtig bemerkte, eben nichts weiter heißen wollte, als das sie übereingekommen, sich durchaus niemals mit schlechtem Machwerk zu quälen. (V;63)

2.4.4. Final Remarks.

The creative writer, according to Hoffmann, must always use his own experiences or real-life surroundings as the starting point for a fictional work. Hilde Cohn summarizes this idea accurately by commenting that the spirit will open itself to a receptive or sensitive poet in the everyday, and however fantastic the events become through the workings of the imagination, the experienced reality will always remain an inner starting point, or "Ausgangspunkt".[31]

Hoffmann's main concerns as a writer have been distilled from these discussions and exemplary tales related by the Serapion-artists. The overriding mood in the author's works, according to these theoretical

deliberations, could be described as a magical "Alltag".[32] Precisely in this natural transition of observing and signifying ("Schauen und Deuten"), of knowledge and the imagination ("Wissen und Phantasie"), of "real" reality and ideal possibility, Hoffmann employs the fairy-tale or "Märchen" form.

Throughout the present study of Hoffmann's theories and principles, the imagination plays a prominent role. As part of his framework discussions, the author has included a conversation specifically on the topic of "Märchendichtung" - fairy-tale writing -, and here once again the imagination is most important. General stylistic methods can also be distilled from this conversation, so as to augment the theoretical concerns revealed so far.

2.5. "Gespräch über die moderne Märchendichtung".

This conversation which occurs in the third volume of the Serapion-collection, published in 1820, echoes the whole theory in certain fundamental aspects: concern with the link to reality and with the role of the rational, forming capacities. The important link is expressed by Lothar, when he says how the fairy-tale elements have, as usual, merged with a commonplace backdrop: "Übrigens gewahrt ihr, daß ich meinem Hange, das Märchenhafte in die Gegenwart, in das wirkliche Leben zu versetzen, wiederum treulich gefolgt bin" (VII;101). Thus the characteristic trait of Hoffmann's fairy-tales is established: a realistic backdrop with events that plausibly have happened, or have some bearing on the exterior world, although the inner linkings are established by "eine traumartige Phantasie".[33] Examples of stories in the Serapion-collection which are based upon a concrete setting or

actual situation from reality are, among others: Nußknacker und Mausekönig which centres around a Christmas evening, Das fremde Kind involving a visit from relatives, and Die Königsbraut which entails the act of pulling up carrots in a vegetable garden. The "Hebelwirkung" is also echoed in this conversation about writing fairy-tales, the realistic setting acting as the springboard from which a story can leap into a realm of magical wonders. Theodor explains this idea:

> Ich meine, daß die Basis der Himmelsleiter, auf der man hinaufsteigen will in höhere Regionen, befestigt sein müsse im Leben, so daß jeder nachzusteigen vermag. (VII;102)

In full support of Lothar's resolve to merge the fairy-tale elements with scenes from "real" life, Theodor recalls how former "Märchen" were written:

> Sonst war es üblich, ja Regel, alles was nur Märchen hieß, ins Morgenland zu verlegen, und dabei die Märchen der Dscherezade zum Muster zu nehmen. Die Sitten des Mordenlandes nur eben berührend, schuf man sich eine Welt, die haltlos in den Lüften schwebte und vor unsern Augen verschwamm. (VII;102)

In other words, Hoffmann's tales, like Tieck's, are quite different in style when compared to the conventional fairy-tale in literature - exemplified in such works as Goethe's Märchen (1795) and the Klingsohr tale in Novalis' Heinrich von Ofterdingen (1801). With Hoffmann, the "Himmelsleiter" is rooted firmly in the everyday environment of our lives, so that from there we can climb up to those higher regions rather than creating a totally imaginary situation which symbolizes only the "real" and does not portray the wondrous changed reality which the Romantic senses. A famous example of this technique in Hoffmann's short prose is the opening scene in Der goldne Topf, where the setting is

Dresden, amidst the usual activities of common everyday life (I;301). Into this environment all manner of fairy-tale events intrude. Ilse Winter refers to this tactic as "Mystifikation", which is realised only in the "Märchen" form, " (...) durch das Ineinander zweier konträrer Bereiche, der alltäglichen Erfahrungswelt und der des Märchens".[34] Undoubtedly, such a technique can be quite audacious, especially if serious and respected members of society are depicted in a fictional, entirely imaginary realm. Cyprian says of this tactic, "(...) daß sie wie fabelhafte Spukgeister am hellen lichten Tage durch die lebhaftesten Straßen der bekanntesten Städte schleichen (...)" (V;301). He is referring in particular to Der goldne Topf's "ironisierender Ton", which, as the artists agree, results from the daring merging of two realms (P.W. V p.301). One may also note, when analysing Hoffmann's tales as representative of "genres", that only a small number are actually sub-titled "Märchen", but a great many are simply called "Erzählungen".

The discussion of fairy-tale writing-techniques not only echoes many of the main ideas expressed in the Serapion principle, it also reveals a progression in the author's narrative technique. Having spent the first half of his career as an artist in the music world and then also having indulged in painting, it is significant that Hoffmann progresses from the Callot-method to the more musical, fairy-tale style of writing.

In attempting to define the "Märchen", the Serapion members discuss the use of an ironic tone and other effects for creating a fairy-tale. Lothar clarifies the conditions set down by Tieck:

> Nach diesem [Tieck] soll Bedingniß des Mährchens ein still fortschreitender Ton der Erzählung, eine gewisse Unschuld der

> Darstellung seyn, die wie sanft phantasirende Musik ohne Lärm und Geräusch die Seele fesselt. Das Werk der Phantasie soll keinen bitteren Nachgeschmack zürucklassen, aber doch ein Nachgenießen, ein Nachtönen. (V;301)

Alfred Neumann always associates Hoffmann's musical talents with the "Märchen" specifically, because the result is frequently a dream reality of the romantic musical experience, " (...) a chaos of surging emotions".[35] The music-like fairy-tale represents a fundamental element in E.T.A. Hoffmann's view of how the magical chaos can convey a formed rendition of reality's wondrous dimension. His tales are always a mix of true-to-life reality and elements of the miraculous or spiritual realm. Fritz Martini's pertinent comment on the genre of the "Märchen" reveals the extent to which this form combined the author's talents as musician, painter and writer: " Im Märchen offenbart sich ihm das Mysterium des Seins. Es ist seine magische Sprache. (...) Hoffmann [erfuhr] im Märchen die reine Erfüllung seines Dichtertums, in das seine Begabung als Musiker und als Maler, in Sprache umgesetzt, sich einverwoben haben."[36]

This discussion on the techniques of writing fairy-tales also illustrates Hoffmann's concern with the imagination which has already been mentioned in various comments by the club members. Lothar had stated his inclination, always to merge the fairy-tale into the real realm (VII;101), and the particular role of the reader's imagination is clarified in connection with the "Himmelsleiter" - the roots in reality lead up to an elevated sphere:

> Befindet er sich [der Leser] dann, immer höher und höher hinaufgeklettert, in einem phantastischen Zauberreich, so wird er glauben, dies Reich gehöre auch noch in sein Leben hinein und sei eigentlich der wunderbar herrlichste Teil desselben. Es

> ist ihm der schöne prächtige Blumengarten vor dem Tore, in dem er zu seinem hohen Ergötzen lustwandeln kann, hat er sich nur entschlossen, die düstern Mauern der Stadt zu verlassen. (VII;102)

Appealing to the reader's imagination was the key to a fairy-tale's success and of such significance in Hoffmann's works that many critics have referred to the "Phantasie" as the "conditio sine qua non" of all his poetic creativity. Without this power it would not be possible to adhere to the "Serapion" rules or to have the desired effect on the audience. The incredible happenings, according to these theoretical ideas, which have originated in a realistic setting, should be related in such a manner that the reader, via his stimulated imaginative faculties, is lifted out of his mundane everyday life and up into a flight of fantasy which can be grasped by his very soul.

The criteria for the "Serapion-Märchen" could thus be summarised as follows: The realistic setting is the starting point and by way of the "Hebelwirkung", or "lever-effect", the story's events become more incredible or simply leap into another wondrous dimension. The music-like fairy-tale must be related and written with the main aim of appealing to the reader's imagination so that he too can escape the one physical or earthly realm and flee to the spiritual sphere at the top of the "Himmelsleiter". Finally, the author expresses, in addition, a certain rationality in the form of an ordered rendition of such a fantasized work.

The Serapionsbrüder-cycle and the analytical discussions among its members provide us in greatest detail with Hoffmann's ideas on the art of writing. Indeed, one very important comment made here presents the main link with the earlier collection, Phantasiestücke in Callots

Manier, and also with those principles expounded by Hoffmann in a later short work, entitled Des Vetters Eckfenster (1822). The thread running through all Hoffmann's theories relates to the importance of the writer situated in the midst of a colourful, hectic, daily activity which is always the trigger leading to the creation of a written work. Theodor clarifies this;

> Sylvester hat Recht, (...) wenn er als Schauspiel - als Romandichter die Anregungen in dem bunten Gewühl der großen Stadt sucht und dann dem Geist ruhige Muße gönnt das zu schaffen, wozu er angeregt worden. (...) Dichter jener Art dürfen sich nicht zurückziehen in die Einsamkeit, sie müssen in der Welt leben, in der buntesten Welt, um schauen (my emphasis) und auffassen zu können ihre unendlichen mannigfaltigen Erscheinungen. (VI;170)

Living and being acutely aware of one's surroundings is thus a crucial part of an author's success in being able to communicate his inner world to his readers or listeners - this is exactly the characteristic in which the hermit, Serapion is lacking.

This theory of "schauen", or "envisioning", and the subsequent "interpreting" of those visions constitute Hoffmann's central concern, and his ideas progress from those in the cycle collections, analysed so far, to those revealed in his story Des Vetters Eckfenster. Consideration of this work is, therefore, necessary for an accurate and complete overview of the author's poetological theories.

2.6. The "Eckfenster" Principle.

Des Vetters Eckfenster (1822) was one of Hoffmann's last works. The story itself comprises little plot or action, rather a dialogue between the "Vetter" - a writer - and the first-person narrator, in the course of which the cousin explains the technique of perception. His intention is expressed as follows: "Auf, Vetter! ich will sehen, ob ich dich nicht wenigstens die Primizien der Kunst zu schauen beibringen kann"(XII;173). It would be difficult to place this work within a certain genre. At best it could be categorised as a literary skit in the dialogue-form and thus, in relation to Hoffmann's views, it is not to be underestimated when compared to the Callot and Serapion ideas.

The "Vetter", we are told, has suffered a physical malady which has also affected his mental capacity as a writer. He now finds his once vivid imagination severely weakened and is unable to objectify and structure the workings of his inner realm. As a result he is no longer creating anything new or original: " (...) die schwerste Krankheit vermochte nicht den raschen Rädergang der Phantasie zu hemmen, der in seinem Innern fortarbeitete, stets Neues und Neues erzeugend" (XII;169). The dialogue takes place at the turning point of the "Vetter's" crisis. The opening of the story consists of his demonstration to the narrator-figure of how severely depressed he was when his thoughts remained in his head and could no longer be expressed on paper. Drawing further into himself every day the "Vetter" refused to admit any visitors into his attic room - a reminder of the narrator's garret life in Der goldne Topf. The narrator here explains this tendency to withdraw from the outside world as follows:

Es ist nötig zu sagen, daß mein Vetter ziemlich hoch in kleinen

> niedrigen Zimmern wohnt. Das ist nun Schriftsteller und Dichtersitte. Was tut die niedrige Stubendecke? Die Phantasie fliegt empor und baut sich ein hohes lustiges Gewölbe bis in den blauen glänzenden Himmel hinein. (XII;170)

The echoes here of the "Märchendichtung" discussion and the Serapion-club members' concern with the imagination are evident. However, the position above and away from the hustle and bustle of everyday-life provide another means of accentuating the position of an observer. As the two characters gaze out of the corner-window, looking down onto the busy market-place, the "Vetter" teaches his pupil the technique of putting down on paper what he perceives in the real world. Recalling the discussions of the Serapion-artists, we have another parallel to that didactic process of the author showing us what he is doing when he writes.

During the course of the dialogue, the "Vetter" presents a very detailed observation of the characters as they appear visually. But he does not stop there. In addition, he attempts to deduce exactly the nature and personality of the people below his window, trying to recognise the substance of their attributes. Thus the reader does not receive an objective description of the market-people and customers, for in fact the "Vetter" communicates numerous subjective and detailed impressions. It is his interpretation of the scene that is portrayed and his "Phantasie" is thereby revealed in full swing. For example, the "Vetter" asks his pupil-cousin; "Was denkst du, Vetter, zu meiner Hypothese?" (XII;187), and then paints a picture verbally of a somewhat sinister and unappealing character - all through his own interpretation of the visual impression:

> Dieser Mensch ist ein alter Zeichenmeister, der in

> mittelmäßigen Schulanstalten sein Wesen getrieben hat und vielleicht noch treibt. Durch allerlei industriöse Unternehmungen hat er viel Geld erworben; er ist geizig, mißtrauisch, Zyniker bis zum Ekelhaften, Hagestolz - nur einem Gott opfert er - dem Bauche; - seine ganze Lust ist, gut zu essen, versteht sich allein auf seinem Zimmer. (XII;187)

The perspective alters from that of an objective onlooker to that of an all-knowing (omniscient) narrator. There is a transformation from visual observation to inner perception. Ilse Winter notes that the process of observation contains several instances of unconvincing assumptions. For example, how could the "Vetter" possibly know that the contents of a basket of food include some herring wrapped in paper?[37] She also explains that this amounts to the "Übergang vom Anschauen zum Erschauen".[38] The panorama of this market square, viewed from the window, is just as much a part of reality as the "Vetter's" attic room, only now the colourful life outside has stepped in and awakened the creative power within him once again.

As usual, reality is the starting point of a successful work of creative writing. Just as the Serapion-artists established previously, the best kind of writer of fiction needs that colourful and busy scenery in actual life from which to gain the stimulus to write. The "Vetter" establishes the prerequisites of "ein Auge" - having the eye with which to perceive the outside world. To his cousin he says: "Das erste Erfordernis fehlt dir dazu, um jemals in die Fußstapfen deines würdigen lahmen Vetters zu treten; nämlich ein Auge, welches wirklich schaut" (my emphasis) (XII;173).

As before, in the theories of Callot or Serapion, this reality perceived by the poet's vision (eye), has its "Hebel" effect, setting the "picture-making" capacity of the poet in motion. The "Vetter"

continues:

> Jener Markt bietet dir nichts dar als den Anblick eines scheckichten, sinnverwirrenden Gewühls des in bedeutungsloser Tätigkeit bewegten Volks. Hoho, mein Freund, mir entwickelt sich daraus die mannigfachste Szenerie des bürgerlichen Lebens, und mein Geist, ein wackerer Callot oder moderner Chodowiecki entwirft eine Skizze nach der anderen, deren Umrisse oft keck genug sind. (XII;173)

Describing himself as "ein wackerer Callot", the "Vetter" is presenting his observations more in the manner of skits or brief episodes of realistic, busy and colourful figures. Hilde Cohn refers to this form of "Dichtung" as "verinnerlicht" and therefore "eine Beispielsammlung zur Verlebendigung des serapiontischen Prinzips".[39]

The ending of Des Vetters Eckfenster forms a link in its motto, "Et si male nunc, non olim sic erit", "If it is bad now it will not be later"(XII;200), between the Vetter's oscillation from hope to despair, and that of the Serapion rule which also indicates a determination and hope for renewed strength to create, despite the power of time or transcient nature of existence.

This tale does not offer any new poetological statements or principles, although some critics have attempted to prove this, but the evidence points more clearly to a progression and confirmation of Hoffmann's theories expressed in the two earlier cycle- volumes. Ilse Winter concludes that the demonstration in this story of how to proceed from a visual observation of the exterior, to an intuitive, subjective perception of the same vision, represents a confirmation of Hoffmann's whole code of practice as a writer of fiction.[40]

7. Final Remarks.

The progression from the painting or sketching of fantastic illusions drawn from real life in the preface to the Callot-collection to the more music-like rules of the "Märchen" discussed in the Serapion-cycle finally culminates in the "Eckfenster" theory of "schauen und auffassen". The common binding thread running through all of Hoffmann's theoretical statements can be summarised as follows: The importance of "real-life" scenes for the artist Jaques Callot is parallelled by the "Hebel" or "lever-effect" discussed in Die Serapionsbrüder, which is in turn further enhanced by the "Himmelsleiter" idea in the fairy-tale discussion. Throughout each of these critical conversations and especially in connection with Jaques Callot, there is an emphasis on the "Zauber seiner überregen Phantasie" (I;9), through which all such impressions of the actual exterior world must be filtered. The "Vetter's" subjective perceptions of the busy life in the market square illustrates perhaps most clearly the earlier ideas in E.T.A. Hoffmann's poetological views.

Having now examined the ideas on fictional writing as presented in theory, the practical demonstration of them in Hoffmann's works will be discussed. The author's methods of communicating to his reader-audience the interior visionary world he experiences will be analysed by beginning with a look at the poet- and narrator-figures. Such an analysis will reveal the extent to which Hoffmann's theories are put into practice.

Endnotes to Chapter Two

1. Des Vetters Eckfenster, (1822), is the only exception in this respect.

2.Friedrich Schnapp, Dichter über ihre Dichtungen, p.292.

3.Alfred Neumann, "Musician or Author? E.T.A. Hoffmann's Decision", Journal of English and Germanic Philology, 52 (1953), p.174.

4. Friedrich Schnapp, Dichter über ihre Dichtungen, p.292.

5. Harvey W. Hewett-Thayer, Hoffmann: Author of the Tales, p.150.

6. I will be referring throughout this study to the following edition of E.T.A. Hoffmann's collected works: Poetische Werke, 12 vols., (Berlin: Walter de Gruyter & Co., 1957). All further textual references will be given in parentheses with volume and page number directly following each quote. This citation is taken from Die Serapionsbrüder,(contained in P.W. vols. V - VII) VI;113.

7. The use of the term "Dionysian" and "Appollonian" is appropriate here inasmuch as Hoffmann seems to anticipate Nietzsche's Essay, Über die Geburt der Trägodie aus dem Geiste der Musik, (1872), with his move from music to poetry.

8. Siegbert Prawer, "Die Farben des Jaques Callot, p.399.

9. Hence Prawer's concluding point.

10. As indicated in the subtitle of the collection, Phantasiestücke in Callots Manier: Blätter aus dem Tagebuche eines reisenden Enthusiasten, the narrator is meant to be the travelling enthusiast.

11. Friedrich Schnapp, Dichter über ihre Dichtungen, p.98.

12. Siegbert Prawer, "Die Farben des Jaques Callot", p.401.

13. Ilse Winter, Untersuchungen zum serapiontischen Prinzip E.T.A. Hoffmanns, p.81.

14. E.T.A. Hoffmann Briefwechsel, ed., Friedrich Schnapp, (Munich: Winkler Verlag, 1967), p.413; Hoffmann's letter to Kunz, 8.9.1813.

15. Friedrich Schnapp, "Der Seraphinenorden und die Serapionsbrüder E.T.A. Hoffmanns", p.111. In this article Schnapp gives a more detailed list of the guest-members.

16. There is some controversy between Ilse Winter's interpretation of this feast day and that of Friedrich Schnapp. I have taken Ilse Winter's understanding of it which coincides with the definition of the Brockhaus Enzyklopädie (1973 edition).

17. Friedrich Schnapp, "Der Seraphinenorden..", p.105.

18. Ilse Winter, Untersuchungen zum serapiontischen Prinzip, p.8.

19. Ilse Winter, Untersuchungen zum serapiontischen Prinzip, p.8. Her reason is explained as follows: "Vor allem mag ihn aber die Idee fasziniert haben, nicht nur seine verstreuten Erzählungen, sondern auch seine Gedanken über kunstästhetische Probleme nach fast siebenjähriger schriftstellerischer Tätigkeit zu sammeln und zu ordnen."

20. Friedrich Schnapp, "Der Seraphinenorden..", p.106.

21. Lothar Köhn, Vieldeutige Welt, p.136. He makes his point in relation to the following quote: "Man sitzt bequem in der festen Wirklichkeit, aber das "glühende Leben" der Erzählung entführt den Leser in seiner Vorstellung aus dieser Wirklichkeit, um nach Beendigung der Geschichte wieder in sie zu entlassen."

22. Johann Wolfgang von Goethe, WA I, vol. 42, pp.56-57.

23. Friedrich Schlegel, Kritische Friedrich-Schlegel-Ausgabe, Athenäum Fragment 116, p.182. This idea of repeated mirror images will be made clear in the final chapter, especially regarding Der Sandmann.

24. Ilse Winter, Untersuchungen zum serapiontischen Prinzip, p.10.

25. Hoffmann, P.W. V pp.56-64.

26. Hoffmann, P.W. V p.60: "Vergebens ist das Mühen des Dichters uns dahin zu bringen, daß wir daran glauben sollen, woran er selbst nicht glaubt, nicht glauben kann, weil er es nicht erschaute (my emphasis)."

27. Ilse Winter, Untersuchungen zum serapiontischen Prinzip, p.61: "Es gibt eine innere Welt und die geistige Kraft, sie in voller Klarheit, in dem vollendesten Glanze des regsten Lebens zu schauen."

28. Hoffmann, P.W. V;p.61: "Aber du, o mein Einsiedler! statuiertest keine Außenwelt, du sahst den versteckten Hebel nicht, die auf dein Inneres einwirkende Kraft."

29. The reader has the task of working with the Romanticist in order to be carried along by the story but also remaining aware of the realistic origins of the events. This will be discussed more fully in my fourth chapter.

30. Hoffmann, P.W. V p.62: "Sollte denn bei uns poetischen Gemütern und gemütlichen Poeten jemals eine Art Philistrismus einbrechen können?"

31. Hilde Cohn, Realismus und Transendenz der Romantik, p.53.

32. Hilde Cohn, Realismus und Transendenz, p.54.

33. Hilde Cohn, Realismus und Transendenz, p.56.

34. Ilse Winter, Untersuchungen zum serapiontischen Prinzip, p.57.

35. Alfred Neumann, "Musician or Author?", p.178.

36. Fritz Martini, "Die Märchendichtung E.T.A. Hoffmanns", p.63.

37. Ilse Winter, Untersuchungen zum serapiontischen Prinzip, p.86.

38. Ilse Winter, Untersuchungen zum serapiontischen Prinzip, p.86.

39. Hilde Cohn, Realismus und Transzendenz, p.59.

40. Ilse Winter, Untersuchungen zum serapiontischen Prinzip, p.87: "Hoffmann spricht also in Des Vetters Eckfenster keine neuen poetologischen Erkenntnisse aus, sondern bestätigt nur Prinzipien, die von Anfang an seine eigene einmalige dichterische Verfahrensweise bestimmte."

3.Theory into Practice: The First-Person Narrators and Poet-Figures in Selected Works by E.T.A. Hoffmann.

3.1. Introduction

This chapter will consider how the first-person narrators and poet-figures are inspired to create a word structure, and what recurring themes and leitmotifs attend or describe that creative procedure. Thus I intend to show how Hoffmann portrays figures and episodes which reveal the nature of requisite characteristics and experiences in order to illustrate what processes are involved in an individual's creation of poetry or fiction. Such characteristics of poet-figures as their eccentricity, introspection and apartness will be included in this discussion, together with the similar personality traits of many first-person narrators - themselves occupants of the work's time and setting.

In addition to analysing how a fanciful vision comes to life in words, the chapter will include a few comments on the way in which the fairy-tale aspects of a written work can relate to, and merge with, the everyday, "real" world. Narrators and poet-figures alike will be examined in those often similar moments when they are inwardly inspired to divulge in written form their vision or experience pertaining to another realm.

I shall investigate these instances of creative impulse in a content- and detail-orientated rather than chronological order. Beginning with the first and also in this respect, typical story, Ritter Gluck (1809), I shall then comment on other works offering brief portrayals of the poetic process. For the most part these are from the

two cycle-volumes, Phantasiestücke in Callots Manier and Die Serapionsbrüder. After drawing from these shorter depictions a survey of recurring motifs and images describing poetic emergence and activity, I shall proceed to those works - above all Der goldne Topf - which offer the more extensive and detailed treatment of the poetic existence and mission.

3.2. Ritter Gluck: Eine Erinnerung aus dem Jahre 1809.

The first of Hoffmann's Phantasiestücke in Callots Manier, Ritter Gluck, is an important early poetic document of Hoffmann's views on art as a whole.[1] With its first-person narrator also appearing as a figure recalling those events of a late autumn day in Berlin in 1809 which have moved him to tell his tale, it is also a salient early portrayal of a poetic act. Noteworthy from the outset is the relationship to the commonplace reality of that location and time: It constitutes the background and circumstances of the vision as the story unfolds.

The essence of the Ritter Gluck story anticipates that of Der goldne Topf, portraying in short version certain characteristics pertaining to poets or writers which recur throughout the prose works and particularly in the Anselmus-story. The writer is presented struggling to relate the visions expressing his faith in the grand myth and mission of art, music or poetry, to the everyday in which he aknowledges himself as rooted and from which he can escape only in dream, intoxication or reverie. Thus the story sheds light upon the creative act itself which for a writer torn between a philistine, commonplace world and his inner world of visions reflecting life's wondrous essence, always revolves around the elucidation and aknowledge- ment of those two realms. Important here is

that the writer is never shown to be in total "flight", rather in relating his vision, he also admits or signals in some way that it is merely a vision or dream, triggered by reality. Thus the writer is involved in a two-step process of - to borrow the Topf story's terms - "Glaube" followed by "Erkenntnis". He relates those visions in which he has faith, yet at the same time he recognises that those visions are merely products of his inventive imagination.

It is also pertinent to bear in mind Hoffmann's own situation at the time of writing Ritter Gluck since those years in Berlin between 1808 and 1810 were especially problematic. Poverty stricken after the Wars of Occupation, the author worked day and night in his home in "Friedrich Straße" (also the narrator's home in the story[2]). His musical compositions were not being accepted at this time either, his baby daughter had died and his wife was ill. One critic sums up Hoffmann's acute awareness of the artist's position as follows: "Nie hat Hoffmann die Diskrepanz zwischen Traumreich der Kunst und trivialer Wirklichkeit bitterer erfahren als in dieser Zeit, die den Künstler - Enthusiasm zur allein lebenserhaltenden Kraft werden läßt".[3]

A further problematic aspect of the artist's existence, common also to many Romantic writers and of particular concern to Hoffmann personally, is the position an artist holds in the world full of philistines. The Gluck-figure criticises those who find fault with the most minute details of a work of written or musical composition. Ultimately, he maintains, talking about art does not lead to creativity:

> (...) über dem Schwatzen von Kunst, von Kunstsinn, und was weiß ich - können sie nicht zum Schaffen kommen, und wird ihnen einmal so zumute, als wenn sie ein paar Gedanken ans Tageslicht

> befördern müßten, so zeigt die furchtbare Kälte ihre weite Entfernung von der Sonne - es ist lappländische Arbeit. (I;18)

Hoffmann's fairy-tale elements originate from the tangible worldly realm which acts as a spring board from which the tale can leap into a fantasy world. First-person narrators are frequently used to introduce a work in this way and as such they are clearly depicted as true-to-life characters, living and working in the ordinary manner. The narrator in Ritter Gluck is typical of many later stories in this respect. The reader is shown how, after describing the hustle and bustle of people at "Klaus und Weber", the narrator chooses to sit at a slight distance from the "kakophonischen Getöse jenes vermaledeiten Orchesters" (I;11) and throughout the tale there is further indication of his isolation from those around him. Then comes the crucial moment at which the whole perspective dramatically changes from exterior description to interior musings. Having discovered a remote corner of the coffee-house gardens where he can breathe freely, he reverts to pondering:

> (...) da setze ich mich hin, dem leichten Spiel meiner Phantasie mich überlassend, die mir befreundete Gestalten zuführt, mit denen ich über Wissenschaft, über Kunst, über alles, was dem Menschen am teuersten sein soll, spreche. (I;11)

Thus his imaginative faculty is seen to dominate and he becomes quite oblivious to the strollers in the gardens. But the following remark is more significant: "(...) nichts kann meine phantastische Gesellschaft verscheuchen" (I;11). This seemingly aloof sort of person, living in Berlin and apparently relating an experience, is particularly prone to indulging in fantasies and abandoning himself to his imagination. The references to "befreundete Gestalten" and "phantastische Gesellschaft" (I;11) suggest that the ensuing meeting

with Gluck is an event taking place solely within his imagination - the entire encounter offered here thus no more than his dream, a product of his alcohol-aided fantasy. Withdrawing into intoxicated reverie with his musings, retreating inwards from the chaos and cacophony, the narrator seems to conjure-up his table companion. Having begun with his dreaming, he then complains about the appalling musicians and suddenly turns to find a fellow music-lover, a previously unnoticed soul-mate seated in front of him. Gluck and the journey on which he subsequently takes the narrator are, arguably, both figments of the latter's imagination.

Two of the most frequently recurring motifs in Hoffmann's shorter prose works relate to modes of intoxication; smoking pipe-tobacco and drinking alcohol - usually wine, beer, or steaming-hot punch. The disposition of the character involved is often indicated initially, but after indulging in either of the above, the senses are charged, the emotions stimulated and precisely at that moment a poetic or imaginative vision of some "other reality" comes to life. Both the first-person narrator and his Gluck-figure create under the influence of alcohol. The intoxicated narrator notices how he has conjured up his fellow imbiber, Gluck, who in turn transforms the pathetic orchestra's offering: "So belebte er das Skelett, welches jene paar Violinen von der Overtüre gaben, mit Fleisch und Farben" (I;9). Thus the narrator, as an inspired Berliner, is portrayed looking into the fantastically enhanced mirror of his own inner world of images to see the artist in grand extreme. His fantasy, having responded to reality, creates a wondrous figure and set of events which portray, in vivid form, his "real" situation as a "poet" trapped in Berlin.

When the overture to Iphigenia in Aulis is over, the stranger seems

exhausted, "wie jemand, den eine übergroße Anstrengung entkräftet hat" (I;14), but the narrator interprets the sighing as indicative of the eccentric musician awakening from a dream; "Er seufzte tief auf, er schien aus einem Traume zu erwachen" (I;14). A parallel can be drawn in this instance with the narrator's own feeling earlier, when he seemed to be rudely disturbed in his fanciful ponderings by the rather painful sound of violins (I;11/12). Thus the effects of such intoxication perceived here continue throughout this strange meeting as the two characters increase their consumption of Burgundy-wine: "Ich trinke Burgunder, er kostet mich nichts, wir befinden uns wohl beieinander, und damit gut" (I;11). Indeed, as soon as they go inside, the effects are demonstrated. The narrator describes the Gluck-figure's rather strange clothes - from his perspective as usual - but becomes increasingly enraptured by the man's appearance, behaviour and words: "Ganz ergriffen von des Mannes sonderbarem Benehmen und den phantastischen Äußerungen eines seltenen musikalischen Talents, schwieg ich" (I;16). The dream has enveloped the narrator again, allowing him, with the help of the wine, to continue in relating it. Eccentricity and intoxication - these two motifs salient in this tale recur in many other stories, and in particular in Die Abenteuer der Sylvesternacht (1815) and in Der goldne Topf (1814).

The previous demonstration of musical talent in the coffee-house can be viewed as a forerunner to the stranger's final performance of the "Armida". Between those two, Hoffmann has inserted a detailed presentation of the artist's inner realm. Whilst explaining to the narrator that a gift for the melodious can be nourished quite unnoticed, the eccentric goes on to elucidate how one comes to compose. The

emphasis throughout Gluck's excited explanation and description of that path to artistic success is on "Traum", and immediately following it he empties yet another glass of wine. The realm to which all artists aspire is described as follows:

> Es ist eine breite Heerstraße, da tummeln sich alle herum und jauchzen und schreien: 'Wir sind Geweihte! wir sind am Ziel! - Durchs elfenbeinerne Tor kommt man ins Reich der Träume (...). (I;16)

However, it is also made clear how few are so privileged as to enter that other world, yet even fewer awaken from it to realise that they are indeed dreaming: the crucial point is made - "(...) viele verträumen den Traum im Reiche der Träume" (I;16). The poet's, or writer's - and here the musician's - situation is clarified. The recognition of the nature of that vision - its existence merely a dream - remains as important within the creative act as the whole vision itself.

The second encounter between the narrator and his imaginary companion occurs in close proximity to the Brandenburg-gate in Berlin. Thus once again the specific location provides the realistic backdrop to a bizarre event; one sphere merges with, or intrudes into, another. The frequent change in perspective also takes its effect on the reader as the story oscillates between Berlin 's "real" world and the envisioned figures and events related through the narrator's eyes. Lothar Köhn mentions that both the narrative-voice and the work's structure serve to confuse the reader.[4] This is a stimulating, but not quite accurate point, since the text has given ample opportunity for the reader to realise that the Gluck figure is one of the narrator's "befreundete Gestalten" (I;11).

Gluck describes his personal experience to the narrator at the end

of the tale when he explains how he came to compose his works. The recurring theme in this passage relates to the all-important inspiration acquired whilst in that "Reich der Träume". Referring to his pages of music, he says:

> Alles diese, mein Herr, habe ich geschrieben, als ich aus dem Reich der Träume kam. Aber ich verriet Unheiligen das Heilige, und eine eiskalte Hand faßte in dies glühende Herz! Es brach nicht; da wurde ich verdammt zu wandeln unter den Unheiligen wie ein abgeschiedener Geist - gestaltlos, damit mich niemand kenne, bis mich die Sonnenblume wieder emporhebt zu dem Ewigen. (I;23)

The magical elements remain with the composer to such an extent that, firstly, he creates music from blank pages and, secondly, he continues to dream of that adorable flower - the "Sonnenblume" which he encountered in that realm beyond the ivory gate (I;23).

This passage captures the relationship between the narrator and his musician-figure, paralleling the fevered emotional reations of both: The narrator reports, "ich war außer mir" after hearing the incredible piece of music and continues, "Alle meine Fibern zitterten (...). Als er geendet hatte, warf ich mich ihm in die Arme und rief mit gepreßter Stimme: 'Was ist das? Wer sind Sie?'" (I;24).

Clearly the state of emotional turmoil, the influence of alcohol, the pipe-tobacco and the strong tendency towards introspection all contribute to the portrayal by the narrator of his recollected dream - the vision of the composer, Gluck, and his envisioned sunflower world. What has been presented here is a figure embodying in vivid form the grand "mission" and "torment" of the gifted artist, exemplified in the character of this musician, whom the narrator "encounters". The Gluck-figure is seen as a creature once of the sacred world of higher

inspiration, evoking its beauty despite all torment even in the city of Berlin. That figure is then finally shown to be the creation of the narrator's fantasy.

3.3. Selected Stories and their Leitmotifs and Themes.

Two important recurring motifs have been established; intoxication through alcohol or smoking, and eccentricity, both of which will be found in various later stories by Hoffmann. In this section I shall concentrate on story-tellers or poet-figures who reveal in some way the process taking place which leads to or further stimulates their written portrayal. This discussion will then lead to the analysis of one particular story, Die Abenteuer der Sylvesternacht, which includes all of these important aspects, and in which, once again, the first-person narrator appears as the central character.

In one of the early works, Der Dichter und der Komponist, written in about 1813 and published in the first Serapionsbrüder volume, a discussion in dialogue-form takes place between the two protagonists and concerns the composing of operas and literary creation. Although it is not disclosed in any way as to how Ferdinand, of whom is said, "er lebte ganz den Musen, und manches geniale Erzeugnis beurkundete seinen Beruf zum Dichter" (V;89), actually acquires the impulse to create, there is an indication at the beginning of the story that in fact Ludwig, the composer, was stimulated by certain beverages before meeting his old friend Ferdinand and subsuequently telling his tale (V;88). Despite the absence of a first-person narrator, Ludwig can thus be viewed as a character relating his vision in words - a vision which comes to life after his evening of wine-drinking, during which a "gemütliches Behagen"

gradually replaces the fear and intrepidation which was caused by the raging battle outside. The wine serves both as a calming agent to relax the household, as well as a source of inspiration with which Ludwig attempts to recall his childhood companion Ferdinand:

> (...) keine Arbeit wollte vonstatten gehn, die Erscheinung des alten Freundes, den er seit Jahren ganz aus dem Gesichte verloren, erfüllte sein Inneres, und wie in hellem Glanz trat die glückselige Jugendzeit hervor, die er mit dem gemütlichen Ferdinand verlebt. (V;89)

Die Automate of 1814 involves a number of poets and story-tellers, namely the Serapion-club members, Vinzenz, Theodor and Cyprian. Although there is little evidence available in the text concerning the process of inventive literary production, each story-teller admits that he is relating from experience, which is one of the most important conditions of the Serapion-principle. Each of the episodes related are in the first-person, another contributory factor to the subjectively "realistic" account of extraordinary events.

Recurring fragment stories have a specific purpose. At the end of Die Automate there is criticism from Ottmar (another member of the Serapion-artists) and a discussion follows in which Theodor's (Hoffmann's) intentions predominate. Just as in Ritter Gluck the reader is left to interpret the tale for himself, so too is the ending of Die Automate inconclusive: Theodor's words on this topic reveal the importance of that open-endedness and in addition link with Hoffmann's constant concern with his reader-audience: " Ich meine die Fantasie des Lesers oder Hörers soll nur ein paar etwas heftige Rucke erhalten und dann sich selbst beliebig fortschwingen".[5] Not only is the imagination of the poet or writer crucial for the success of a work of fiction, but

the reader also must play a role. The narrative is never clear cut, black or white. Instead there is that characteristic mingling of two spheres. Thus, deciphering exactly what happens and in which realm remains the reader's task.

Two of Hoffmann's Nachtstücke also involve poet-figures. In Die Jesuiterkirche in G. (1817), the first-person narrator undertakes a journey - another motif recurring in the short prose works - and encounters a mysterious artist (painter) called Bernard (III;103). His life-story is in turn copied down by a student of the painter and is read to the narrator; thus one story by one type of artist is told to another and its content concerns a third artist - the painter. This complex intermingling of gifted artists also contains the journey-motif. A narrator as a character in a fable is often described moving to a new place and experiencing something out of the ordinary while there, for example in Die Abenteuer der Sylvesternacht. At times the journey takes place only in the mind, for example in Der Artushof (1816) where the narrator appeals to his reader to travel back in their imaginations to the days of King Arthur (III;166). In the second of the relevant Nachtstücke, Das Majorat (1817), the poet-figure and his uncle travel to an eerie castle, relating to an actual place called Runsitten on the Baltic coast (III;190). It is the Baroness there who recognises the main protagonist as a musician and poet, and whenever he attends the banquets, the influence of wine causes him to imagine voices talking to him, or to experience vivid dreams. There is in addition to the intoxication and journey-motifs in this tale, a story within a story told by the Uncle of the castle. Relating ghostly or marvellous events undoubtedly becomes a topic in itself, expounded in many of Hoffmann's

tales and discussed by the Serapion artists. In a later work, Die Königsbraut (1819), the journey-motif occurs in a more obviously ironic sense (VII;216). The narrator begins by requesting his readers to journey with him to a specific place - an area around the Main river. But despite the realistic setting all manner of fairy-tale and quite incredible events are narrated: mandrakes, vegetables coming to life as characters and palaces in kitchen gardens. Hoffmann's opinion on the frequent mixing of the "real" and the fairy-tale is explained in one of the critical discussions amongst the Serapion artists. Theodor maintains:

> Im Allgemeinen ist es aber auch meines Bedünkens gar nicht übel den Schauplatz genau zu bezeichnen. Außerdem daß das Ganze dadurch einen Schein von historischer Wahrheit erhält, der einer trägen Fantasie aufhilft, so gewinnt es auch, zumal für den, der mit dem als Schauplatz genannten Orte bekannt ist, ungemein an Lebendigkeit und Frische. (V;165)

Eccentricity, already discussed in connection with Ritter Gluck, also plays an important role in such stories as Der Einsiedler Serapion (V;16-29) and Rat Krespel (I;32-56). These appear in this order in the first volume of the Serapion-cycle and illustrate a specific moral principle: the narrator in each goes on a journey, encounters an exceptional character and realises, especially as regards the Serapion-hermit, that a crucial balance is required between the two spheres - life, ordinary existence, and the magical realm of artistic creativity. As clarified in chapter two, Serapion's madness is attributed to his lack of this capacity: "Armer Serapion, worin bestand dein Wahnsinn anders, als daß irgendein feindlicher Stern dir die Erkenntnis der Duplizität geraubt hatte, von der eigentlich allein unser irdisches Sein bedingt ist" (V;60, my underlining). The eccentric

musician Krepsel, on the other hand, is of a slightly more balanced disposition. Only because every thought becomes action does he leap about and gesticulate. The first-person narrator begins telling of his experience after he has moved to a new town: "Dieser Rat Krespel war nämlich einer der allerwunderlichsten Menschen, die mir jemals im Leben vorgekommen" (V;32). The narrator figure Drosselmeier in Hoffmann's famous children's fairy-tale, Nußknacker und Mausekönig (1816), provides another example of a rather isolated and certainly unusual character who relates his flights of fantasy to the listening children after smoking his pipe (V;254). The dream motif is also present in the first half of this story. Marie experiences the marvels of the nutcracker's battle with the mice and then faints when she feels pain in her arm. On waking the narrator comments: "Als Marie wie aus tiefem Todesschlaf erwachte, lag sie in ihrem Bettchen" (V;253).

Poetic inspiration is unveiled in Theodor's story, Die Fermate (1815), as originating from a painting - an experience of which Theodor speaks to his colleagues as follows: "Ist es euch recht, sprach Theodor, so gebe ich euch eine kleine Erzählung zum besten, die ich vor einiger Zeit aufschrieb und zu der mich ein Bild anregte" (V;63). The precise details of this painting and the exhibition of autumn 1814 in Berlin then form the opening paragraph of Theodor's story. The two characters, Eduard and Theodor, decide to discuss the beautiful piece of art work over a bottle of Italian wine. Theodor, however, already seems lost in his own dreamy musings. His reaction to his friend's suggestion that they go into a bar reads as follows: "Ja, das laß uns tun! fuhr er jetzt auf, wie aus einem Traum erwachend, aber kaum loskommen konnte er von dem Bilde (...) (V;65, my emphasis). The core of the story begins after

the friends have talked and drunk a few glasses, but once again it is one from Theodor's memory - a personal experience of which the painting reminded him: "(...) ganz wunderbar ist es doch, daß das Bild getreu eine Szene aus meinem Leben mit völliger Porträt- ähnlichkeit der handelnden Personen darstellt" (V;66). Thus his mood is stimulated by that vague recollection and his imagination is further assisted in producing the vision through intoxication. Another example of a story in which a painting provides the stimulus for writing is Der Artushof which in fact concerns a sensitive character who is aroused by a painting and discovers his artistsic inclinations (V;166).

It is interesting to note how, in Die Königsbraut (1819), Hoffmann presents a satire on a poet-figure. Ännchen's fiance, a student, is ridiculed for his overt egoism, aspiring to be a true poet but lacking in genuine talent. Ironically he is also depicted smoking his pipe in the vain hope of finding divine inspiration (VII;252/253).

Finally it would be pertinent to allude briefly to one of the author's last works, Datura Fastuosa, oder Der schöne Stechapfel (1822) in which the protagonist, Eugenius, a student of botany, has lofty inclinations. Although he can sense that flame of higher knowledge within him, he is quite a stranger to the ordinary world and his excitement can be intensified only by alcoholic consumption. Intoxication is the crucial moving force to his inventive imaginings, but he is lacking in the all-important balance and recognition of those two realms.

Cyprian, in Die Serapionsbrüder, makes some interesting remarks on such inwardly divided characters depicted by authors. The discussion takes place after the reading of Die Bergwerke zu Falun (1817) whose

central character Elis Fröbom is tragically torn between his two worlds - one below the ground and one above (V;197-230). Cyprian gives his opinion:

> Theodors Erzählung hat mir doch im Ganzen nicht so sehr mißfallen als Dir, Ottmar. Wie oft stellten Dichter Menschen, welche auf irgendeine entsetzliche Weise untergehen, als im ganzen Leben mit sich entzweit, als von unbekannten finstren Mächten befangen dar. Dies hat Theodor auch gethan, und mich wenigstens spricht dies immer deshalb an, weil ich meine, daß es tief in der Natur begründet ist. (V;230)

To sum up the distinct themes and motifs recurring in Hoffmann's stories, those in particular that attend the literary depiction of an imagined vision, this study has so far established the following: misfit characters or eccentrics, be they figures within the story or narrators, motifs of intoxication, the journey or flight into the imagination, recollections and the narration of personal experiences, paintings as stimulus and, finally, poet-figures who reveal their struggles in a dual existence.

One fairy-tale adventure that incorporates all of these themes appears in the Callot Manier collection, entitled Die Abenteuer der Sylvesternacht (1815). I have singled out this story because it depicts the narrator as an actual character and also permits a more detailed analysis of the circumstances preceeding the bizarre events he relates.

3.4. Die Abenteuer der Sylvesternacht.

The opening sentence of the editor's foreword to this story forges an explicit link with Jaques Callot: "Der reisende Enthusiast, aus dessen Tagebuche abermals ein Callotsches Phantasiestück mitgeteilt wird, trennt offenbar sein inneres Leben so wenig vom äußern, daß man

beider Grenzen kaum zu unterscheiden vermag" (I;305). Also, the source of the story is established, and the travelling enthusiast's experiences have evidently caused the difficulties in distinguishing elements of his inner world from those of the outer. Already the journey and flight into fantasy motifs have been introduced, as well as the narrator-figure suffering from an irreconcilable dualism.

The story opens with a first-person voice describing utter panic and terror. The protagonist's mood is dominated by serious misgivings about the coming year and the previous one - he is haunted by the accusing voice of the devil:

> Für den Silversterabend spart mir der Teufel jedesmal ein ganz besonders Feststück auf. Er weiß im richtigen Moment, recht furchtbar höhnend, mit der scharfen Kralle in die Brust hineinzufahren und weidet sich an dem Herzblut, das ihr entquillt. (I;306)

This is the indication of the misfortune he is about to suffer. The surprise for him at the "Justizrat's" New Year's Eve party is described as follows: "(...) aus der Mitte der Damen auf dem Sofe strahlte mir ihre Geastalt entgegen. Sie war es - Sie selbst, die ich seit Jahren nicht gesehen, die seligsten Momente des Lebens blitzten in einem mächtigen zündenden Strahl mein Inneres - (...)" (I;307). The encounter with his former lover, Julie, is one of intense emotion. He cannot think straight or behave normally. His mood is then almost disbelieving - "Regungslos, wie von einem Zauberschlag plötzlich getroffen" (I;308). He is lost in his dreamy reminiscences of those former days - "(...) [ein] Leben voll Liebe und Poesie" (I;308). Then music arouses him further before finally he begins to drink steaming hot punch; the effect is illustrated immediately:

> (...) - ich trank und trank - es war mir, als knisterten und leckten kleine blaue Flämmchen um Glas und Lippe. Geleert war der Pokal, und ich weiß selbst nicht, wie es kam, daß ich in dem nur von einer Alabasterlampe erleuchteten Kabinett auf der Ottomane saß - Julie - Julie neben mir, kindlich und fromm mich anblickend wie sonst. (I;310)

From this we gain a clearer idea that the vision of the beautiful Julie has been conjured up in the protagonist's imagination. At that very moment when he is desparately hoping she has returned to be his forever, the husband, "(...) eine tölpische, spinnenbeinichte Figur mit herausstehenden Froschaugen" (I;310), enters the scene and shatters all his hopes.

The next episode revealing the preconditions of the central figure's vision, takes place, significantly in a beer cellar. Having fled the previous company, our victim (the narrator) feels the need for "(...) einen tüchtigen Schluck starken Getränkes" (I;312) and joins a group at the bar. The intoxication theme occurs once more and this time both alcohol and pipe-tobacco precede the whole of the remaining incredible tale:

> Ich forderte eine Flasche guten englischen Biers nebst einer tüchtigen Pfeife guten Tabaks und befand mich bald in solch einem sublimen Philistrismus, vor dem selbst der Teufel Respekt hatte und von mir abließ. (I;312)

The two characters he subsequently encounters are mysterious figures - one based on Chamisso's Peter Schemihl character, who sold his shadow, the other named General Suwarow, who has lost his reflection. Even after leaving the bar. the central character meets both gentlemen again in his own room - at least he thinks he does: "Das ganze Ding mit dem Kleinen war auch wohl nur ein lebhafter Traum, dachte ich eben (...)" (I;322).

The postscript by the travelling enthusiast confirms precisely the

text's indications that the entire story was a dream. The uncanny powers which sometimes disturb one in sleep are explained in a direct address from the narrator to the author, E.T.A. Hoffmann himself:

> Du siehst, mein lieber Theodor Amadäus Hoffmann! daß nur zu oft eine fremde dunkle Macht sichtbarlich in mein Leben tritt und, den Schlaf um die besten Träume betrügend, mir gar seltsame Gestalten in den Weg schiebt. (I;341)

The experiences at the "Justizrat's" celebration and the vision of Julie are interpreted as follows: "(...) jener Justizrat [war] wirklich von Dragant, sein Tee eine Weihnachts- oder Neujahrsausstellung, die holde Julie aber jenes verführische Frauenbild von Rembrandt oder Callot (...) (I;341).

As mentioned in the introduction to this chapter, the most detailed and extensive treatment of the poet's position and mission is offered in the fairy-tale, Der goldne Topf (1814). Considering the works in this order, however, a certain progression and indeed an anticipation from the first tale, Ritter Gluck of 1809, towards the two later works of 1814 and 1815 becomes apparent. While in Gluck the reader was left with fairly subtle textual hints indicating that the entire encounter was a dream, the "reisende Enthusiast" in Die Abenteuer der Sylvesternacht (1815) affirms without doubt that the experiences he has related were merely the product of the workings of his imagination. As noted earlier, Ritter Gluck provides, in short version, an anticipation of one particular aspect of the famous "Topf"-story. There, in the twelfth vigil, the narrator reveals clearly the poet having a vision. He shows how he has conjured up a figure, Anselmus, who portrays vividly what an artist's situation can do. In addition, Der goldne Topf incorporates and expands all those fundamental motifs discussed in relation to the

various other prose works.

3.5. Der goldne Topf

3.5.1. Introduction

Not only is the narrator of this work exemplary in the sense that he achieves a vision and then creates a word structure, but the two main characters, Anselmus and his mentor, Archivarius Lindhorst, also represent parallel situations and have similar characteristics. The more obvious portrayal of three emerging poets will also be examined in the light of Hoffmann's usual use of leitmotifs. As Lindhorst is the first to relate his story in the text I shall begin with an analysis of his activity followed by that of his pupil, the central figure, Anselmus, and leading finally to the narrator's situation - clarified in particular by the twelfth and final vigil. Also, it is interesting to notice that the internal poetic act, represented by Lindhorst, is embraced by Anselmus' development, which in turn is an expression of the narrator's own situation, thus a so-called chinese-box, or telescope technique.

3.5.2. Lindhorst and Anselmus

The reader is introduced to the character of Lindhorst by Registrator Heerbrand and is made immediately aware of the general impression society has of this strange figure:

> Es ist hier am Orte ein alter wunderlicher, merkwürdiger Mann, man sagt, er treibe allerlei geheime Wissenschaften, da es nun aber dergleichen eigentlich nicht gibt, so halte ich ihn eher für einen forschenden Antiquar, auch wohl nebenher für einen experimentierenden Chemiker. Ich meine niemand andern als

unsern Geheimen Archivarius Lindhorst. (I;222)

Despite the rumours that this scientist/chemist has various magician-like tendencies, Heerbrand dismisses such ideas. But the dual-existence has still been hinted at. The precise details of Lindhorst's background and origins are not offered in total until the eighth vigil, when his daughter, Serpentina, in the form of a gold-green snake, explains the family's destiny (I;270). Lindhorst does, however, attempt to relate his story publicly in the third vigil, but the disbelieving listeners deride his incredible tale of the Jüngling Phosphorus and the "Feuerlilie". Heerbrand calls it "orientalischer Schwulst" (I;228) and, even though Lindhorst persistently confirms the truth behind his words, there is no other reaction other than "schallendes Gelächter" (I;228). Already it seems that this eccentric figure has one foot in each of two realms; he lives and works with his so-called chemical experiments and manuscripts of unintelligible languages, but his roots remain in the world of salamanders. More noteworthy is the fact that Lindhorst acknowledges and accepts this dual-life, fully aware that the philistine audience will never take the family-story seriously, but continuing to live his double-life and offer his artistic renditions of his truths. Serpentina clarifies her father's mission in the commonplace world of "Erdgeister" and this illustrates how he has managed to achieve a balance through "Erkenntnis" (I;270). As punishment for falling in love with the green snake - daughter of the fire-lily - Lindhorst, the salamander, is condemned to live an earthly life, as Phosphorus says: "(...) - sinke hinab zu den Erdgeistern, die mögen dich necken und höhnen und gefangen halten, bis der Feuerstoff sich wieder entzündet und mit dir als einem neuen Wesen aus der Erde

emporstrahlt" (I;271). Lindhorst's punishment also serves as a reminder of the predicament in which Hoffmann's Gluck-figure finds himself. He, too, is condemned to live among the earthly creatures after having experienced all but a glimpse of the sunflower realm (I;18).

Thus the task is set. Lindhorst has a sentence to serve, a tale to tell, and it is necessary for him to exist within this dualism. Any artist leads the existence of an exile. Lindhorst knows that he is of the mythical sphere but he is trapped, figuratively speaking, in the glass-bottle . He functions artistically in the tale, offering such art-works as his stories - the expression of his real origins - the ring and the bowl. Despite being a victim of the ever-more divided and complex universe, he holds on to his dreams and visions and is able to maintain an ironic position, sitting in the coffee-houses of Dresden, after relating the truth about his incredible background in vivid pictures.

Precisely at the moment when the philistine citizens are laughing at the incredible story told by Lindhorst, Anselmus is emerging as a character who has a certain affinity to this eccentric figue. It is Anselmus - the only member of the audience who does not deride Lindhorst's story - who also feels ill at ease in the everyday life of Dresden, yet cannot quite comprehend or reconcile the higher realm of "Poesie" to which he feels increasingly drawn (I;229).

Lindhorst is depicted in the role of guide or mentor to Anselmus, and as such he seems intended to invite comparison with the figure of Klingsohr in Novalis' fragment Heinrich von Ofterdingen. This work echoes that of Hoffmann with freqent, apparently satiric intent. Lindhorst's and Klingsohr's stories teach a lesson to the newly emerging

poets, Anselmus and Heinrich. Thus the myth they are to repeat is exemplified for the two "apprentice-poets".[6]

Anselmus' process of development and initiation begin at the actual start of the story as the reader witnesses the threatening words of the old woman whose applecart Anselmus has upset: " (...) renne nur du Satanskind - ins Kristall bald dein Fall - ins Kristall" (I;210). From this incident the sensitive character's awkwardness and discomfort in his surroundings are revealed. De Loecker refers to the hero as "ein ewiger Pechvogel"[7] and also notes the strength of the emerging poet's imagination: "Das Verhältnis zu seiner Umgebung ist gestört: er ist unsicher und lebt fortwährend eingeschlossen in der eigenen Einbildungswelt."[8] As a student aspiring to become a civil servant, Anselmus appears on the one hand to be firmly rooted in the "real" world of Dresden, caught up spasmodically in his affections for Veronika, whose character is dominated by over-efficient domesticity and strong social class consciousness. On the other hand, however, Anselmus possesses a certain "kindliches poetisches Gemüt" (I;273) and is constantly searching for some other realm beyond the confines of the everyday in which he seems doomed to fail. His feelings are expressed in the monologue which follows the apple-cart incident:

> Wahr ist es doch, ich bin zu allem möglichen Kreuz und Elend geboren! - Daß ich niemals Bohnenkönig geworden, daß ich im Paar oder Unpaar immer falsch geraten, daß mein Butterbrot immer auf die fette Seite gefallen (...). Ach! ach! wo seid ihr hin, ihr seligen Träume künftigen Glücks? (I;212/213)

Thus the central character's disharmony is portrayed. He is incapable of achieving his aims in the bourgeois world. In fact he seems thwarted and frequently prefers to lose himself in seemingly dreamy musings which

entice him away from the city life in the form of escape or flight.

Both Lindhorst and Anselmus live a double-life, on the border between two opposing realms. But the inexperienced student has to learn from his guide, Lindhorst, in order to achieve that crucial balance, to attain complete faith and insight, "Glaube" and "Erkenntnis".[9] The motifs which attend the didactic process of Anselmus' initiation into the poetry world of Atlantis include most of those already discussed in this chapter: intoxication, flights into fantasy or imaginary journeys, contemplation of art works (ring, bowl and books), and isolation or apartness of characters.

The first vision of the gold-green snakes takes place after Anselmus has sat down on the banks of the Elb river and smoked his pipe (I;212). Afterwards, when he is noticed by some passers-by for talking to himself and is accused of being drunk, he reacts as follows:

> (...) dem Anselmus war es so, als würde er aus einem tiefen Traum gerüttelt oder gar mit eiskaltem Wasser begossen, um ja recht jähling zu erwachen. (I;217)

Schumacher suggests that he is incapable of finding orientation between the fantastic, dream world and the sober objective world.[10] Lindhorst emphasises this in his treatment of Anselmus as his pupil-caligrapher. The sudden appearances exactly on the promised hour, his bizarre clothing and, most of all, the regular glass with every meal. One critic compares Lindhorst's indulgence with the old crone's sobriety: "Wie Lindhorst im poetisch inspirierenden Getränk Arrak und Punsch erscheint, so ist die Rauerin in der bürgerlich spießigen und nüchternen Kaffeekanne zu Hause".[11] The theme of intoxication is noticable throughout Der goldne Topf. Whenever the protagonist has further

communication with Serpentina, he has always indulged and is often uncertain whether he is dreaming or really seeing the beautiful snake form. In particular the ninth vigil reveals the extent to which a confused Anselmus can be affected by alcohol:

> Aber sowie dem Studenten Anselmus der Geist des Getränks zu Kopfe stieg, kamen auch alle Bilder des Wunderbaren, Seltsamen, was er in kurzer Zeit erlebt, wieder zurück. Er sah den Archivarius Lindhorst in seinem damastnen Schlafrock, der wie Phosphor erglänzte - er sah das azurblaue Zimmer, die goldnen Palmbäume, ja, es wurde ihm wieder so zumute, als müsse er doch an die Serpentina glauben - es brauste, es gärte in seinem Inneren. (I;279)

Yet as soon as Anselmus has drunk the sobering coffee, all his doubts return and everything to do with Lindhorst and his amazing house seems to him prosaic and tasteless.[12] The ultimate test for Anselmus is brought about by the imprisonment in the bottle - Lindhorst's punishment for any spilt ink on the manuscript which Anselmus was copying. Anselmus realizes the importance of Serpentina's and Lindhorst's entreating words that he should have faith. Trapped in a glass bottle on the library shelf he is made fully aware of the limits of bourgeois rationalism and of his own folly in not following his own inclinations (I;287). In his cry for help he appeals to Serpentina:

> O Serpentina - Seroentina, rette mich von dieser Höllenqual! (...) Bin ich denn nicht an meinem Elende lediglich selbst Schuld, ach! (...) - habe ich nicht schnöde Zweifel gegen dich gehegt? habe ich nicht den Glauben verloren und mit ihm alles, alles, was mich hoch beglücken sollte? (I;286)

His faith is renewed then by his conversation with the three scholars, also imprisoned in glass, yet quite unaware of any imprisonment since they know nothing beyond their commonplace reality. As Anselmus points out, " (...) die schauten niemals die holde Serpentina, sie wissen nicht

was Freiheit und Leben in Glauben und Liebe ist, deshalb spüren sie nicht den Druck des Gefängnisses" (I;288).

The motif of the bottle proves a crucial symbol in Hoffmann's story since it mirrors the position of all three poet-figures. Lindhorst - condemned to serve his sentence on earth; Anselmus - confined to the ordinary world in Dresden, at least for most of the tale, and the narrator who, in the final vigil, also reveals himself and his restricted position.

3.5.3. The Narrator in Der goldne Topf

At the beginning of the twelfth vigil the narrator enters the story not merely as the first-person voice of the fable's creator, as in vigils four, seven, and nine, but also as a figure occupying the same time and space as his characters, yet revealing himself as another word artist, trapped in Dresden with his visions of other spheres. In the twelfth vigil's opening paragraph, he expresses the struggle he has experienced in putting pen to paper: "Ich härmte mich recht ab, wenn ich die eilf Vigilien, die ich glücklich zustande gebracht, durchlief und nun dachte, daß es mir wohl niemals vergönnt sein werde, die zwölfte als Schlußstein hinzuzufügen (I;299).

Revealing himself as a writer in the midst of his attempt to bring his vision into written form, to communicate his imaginary poet-figures in their struggle, the narrator caps his work of fiction with a third portrayal of poetic activity, paralleling the previous two and revealing the relationship among them.

The narrator has admitted that he has had difficulties in his task as a poet, just as Anselmus has struggled with his interpretation of visions and written symbols. The opening line of this vigil also shows how profoundly affected the narrator is by the flight of Anselmus to Atlantis and his subsequent unification with his beloved Serpentina:

> Wie fühlte ich recht in der Tiefe des Gemütes die hohe Seligkeit des Studenten Anselmus, der, mit der holden Serpentina innigst verbunden, nun nach dem geheimnisvollen wunderbaren Reich gezogen war, das er für die Heimat erkannte (...). (I;298)

He then identifies with the imprisoned Anselmus when he says - "Ich fühlte mich befangen in den Armseligkeiten des kleinlichen

Alltagslebens, ich erkrankte in quälendem Mißbehagen, ich schlich umher wie ein Träumender (...) (I;299). Like his central character, the narrator does not fit in with his everyday surroundings and turns to his inner world of dreams and fantasies for solace. It is at this point that the reader has a clearer indication of the narrator's mood directly before the vision of Atlantis is achieved:

> Da warf ich denn die Feder hin und eilte ins Bett, um wenigstens von dem glücklichen Anselmus und der holden Serpentina zu träumen. (I;299)

Caught up in the mundane everyday, trapped in his attic room, the narrator flees into further dreams from which result the intervention of his character, Archivarius Lindhorst, who comes to aid him. With Lindhorst's flaming punch and his words of insight, the narrator is helped in his envisioning and describing of the ideal case of the figure Anselmus (I;300/301). The progression from flight - the narrator's secluded attic room - to dream then leads to the arrival of the letter and the subsequent visit from Lindhorst, who personally enhances the narrator's drink:

> Der Archivarius Lindhorst verschwand, erschien aber gleich wieder mit einem schönen goldnen Pokal in der Hand, aus dem eine blaue Flamme hoch emporknisterte. (....) Es ist angezündeter Arrak, in den ich einigen Zucker geworfen. (I;301)

After Lindhorst has then actually stepped into the drink - to the narrator's utter amazement - the alcohol takes its full effect: "Ohne Scheu kostete ich, die Flamme leise weghauchend, von dem Getränk, es war köstlich!" (I;301). He is thus doubly intoxicated: both by the alcohol and by a figure of his imagination.

Now the vision of Anselmus' bliss is glimpsed by the narrator. Lindhorst has served as the guide just as he did with the young student. Intoxication remains the key opening into that dreamy realm and yet the values of "Glaube" and "Erkenntnis" remain equally as important for the narrator as for his two poet-figures. Immediately following this vision, the narrator bemoans his bottle-like existence in his attic room, fully aware that his fate is to remain there and that he will never reach the paradise that Anselmus has:

> Aber ich Armer! - bald - ja in wenigen Minuten bin ich selbst aus diesem schönen Saal, der noch lange kein Rittergut in Atlantis ist, versetzt in mein Dachstübchen, und die Armseligkeiten des bedürftigen Lebens befangen meinen Sinn (...). (I;303)

3.6. Final Remarks

The twelfth vigil of Der goldne Topf provides an account of a poet/writer struggling for visions and words, but also demonstrating that faith and recognition necessary for reconciling the visionary capacity with real existence. The "reality" of this last episode lies in the writer's location and predicament both at the start - when he confesses how difficult he is finding the creation of the twelfth vigil - and at the finish when he admits he is not in Atlantis, but visits there only figuratively by way of dream and fantasy (I;303/304). The account is realistic, too, in that the narrator achieves the inspiration for the poetic picture he offers by flight into both dream and intoxication. The fact that he hints at how the events are dreamt and the visions achieved via the steaming punch,[13] is also realistic and forms a parallel with the narrator of the Gluck story. Although the appearance of Lindhorst swimming in the punch cannot possibly be real,

the events are graphic images portraying the process which results in the envisioning of the state of "Poesie".

Looking at Anselmus' whole story there is an expansion and poeticizing as the narrator's situation comes to light. The bottle-episode is revealed to be a poetically vivid and graphic, parallel to the narrator's garret life, and Anselmus' assertion of insight and faith followed by his flight to Atlantis is the grand poetic version of the narrator's more realistically described and modest breakthrough. The "chinese-box" technique is now complete: Lindhorst's story contained in the tale of Anselmus is in turn presented bt the narrator. Both the internal poetic act in Lindhorst's case and the embracing of it by Anselmus' poetic emergence are expressions of the narrator's technique. Although Anselmus is created as the narrator's ideal, his model is Lindhorst - the Janus face. Personifying in the tale both alpha and omega, Lindhorst dispatches firstly Anselmus and then the narrator upon their Atlantis journeys. To each of them the salamander holds a bowl or art-work, intoxicating them both and becoming their model or teacher. The narrator then offers his reader audience a "golden bowl" in the form of his fictional tale. Thus both the ideal figure, Anselmus, and the narrator must learn from the dual-citizen Lindhorst who occupies both dream-land and Dresden.

The final success for a poet is the recognition of his duality in the world - Serapion's unsolved problem - and a mediating mobility between the two worlds without renouncing either one. The narrator of Der goldne Topf achieves this position and is granted his own personal glimpse of that place where his visions originate, but at the same time he is quite certain that his destiny remains to be that of a writer,

struggling in the commonplace world to communicate in writing the workings of his imagination.

Endnotes to Chapter Three.

1. Christa Karoli, "Ritter Gluck. Hoffmann's erstes Fantasiestück", E.T.A. Hoffmann. Wege der Forschung, ed. Helmut Prang, (Darmstadt: Wissenschaftliches Buchgesellschaft, 1976), p.335: "[Es enthält] alle wesentlichen Elemente seiner Kunstauffassung und Künstlerproblematik (...). Deshalb nimmt das Fantasiestück in Hoffmann's Gesamtwerk eine Schlüsselstellung ein."

2. As in Chapter Two all references to Hoffmann's works will appear with the volume and page number in parantheses immediately following each quote. This reference; I;19.

3. Christa Karoli, "Ritter Gluck", p.339.

4. Lothar Köhn, Vieldeutige Welt, p.38: "Vielmehr gerät der Leser in Zweifel darüber, was denn hier überhaupt das Wirkliche sei. Die Struktur führt also schon zu Beginn der Erzählung über die Darstellung eines Dualismus objektiver Art hinaus und stellt fundamentaler den Wirklichkeitsbegriff in Frage."

5. Hoffmann, P.W. VI p.113; this quote was also noted in the previous chapter (see p.13 and footnote 6).

6. Hans Schumacher, Narziß an der Quelle. Das romantische Kunstmärchen, (Wiesbaden: Akademischer Verlag, 1977), p.118.

7. Armand de Loecker, Zwischen Atlantis und Frankfurt. Märchendichtung und Goldenes Zeitalter bei E.T.A. Hoffmann, (Frankfurt/Main: Peter Lang, 1983), p.51.

8. Armand de Loecker, Zwischen Atlantis und Frankfurt, p.51.

9. Throughout the tale of Der goldne Topf, Lindhorst and Serpentina are constantly appealing to Anselmus to have faith, "Glaube"; i.e. to believe in their existence, but also, as exemplified in the bottle punishment (tenth vigil, p.287), to have the insight, "Erkenntnis", to recognize that a balance between the two realms is crucial for the success of a poet.

10. Hans Schumacher, Narziß an der Quelle, p.120-121.

11. Hans Schumacher, Narziß an der Quelle, p.120.

12. Hans Schumacher, Narziß an der Quelle, p.121: "Deswegen erkennt er in seiner Ernüchterung den paradiesischen, blauen Garten Lindhorsts nicht mehr wieder, alles erscheint ihm prosaisch, gewöhnlich und geschmacklos und auch die erhellende Mitteilung Lindhorsts, daß er, Lindhorst selbst, in dem Punsch gesteckt habe, erscheint ihm tolles Zeug."

13. Hoffmann, P.W. I p.303: "Die Vision, in der ich nun den Anselmus leibhaftig auf seinem Rittergut in Atlantis gesehen, verdankte ich wohl den Künsten des Salamanders."

4. Narrative Intrusions and their Implications: Revelations of the Poetic Process.

4.1. Introduction

This chapter will be concerned mainly with those works in which the narrator plays a more prominent role than in the examples above, those instances in which the narrator interrupts the account of his fictional figures and events to reflect on the problematic nature of "poetry" or the poet's task. Such intrusions of the narrative voice usually address the reader directly, in the second-person informal mode, and are very revealing as to the nature and problems of the poetic act. Thus the reader-audience is not merely presented with a typically romantic vision - be it that of the demonic genius in Ritter Gluck or of Anselmus' ascent to Atlantis in Der goldne Topf - but is shown a broader and more detailed context which alerts him to the constant problems a writer faces in his attempt to create a work of fiction, and especially one so rich in wondrous and fairy-tale elements.

This examination will show E.T.A. Hoffmann's continuing preoccupation with the writer's dualism. Hoffmann's narrator, reflecting critically in these intrusions, is on the one hand depicting the wondrous events of that fantasy realm, and on the other standing with one foot in the rational world of the reader. Much akin to Friedrich Schlegel and Jean Paul, Hoffmann has his narrator-figure or his narrative voice explicitly interrupt and initiate reflections on creativity. Augmenting his poetic vision with critical reflection, the narrator brings to bear on his entire presentation a wider spectrum of his mental capacities, a wider range of that world he would depict. Thus

presiding over his work with an "irony" akin to that outlined in Friedrich Schlegel's theories, the narrator "potentialises" or enhances his poetic statement by reflecting on its relationship to a greater reality, a process particularly evident in Der goldne Topf.

Specific attention will be paid to the above-named work in this discussion, since it represents the first major breakthrough of narrative intrusion in E.T.A. Hoffmann's works. This turning point is also significant due to the concluding depiction of an artist (writer), struggling to keep his balance on the brink of two worlds - a situation of particular relevance to the author as a writer, presented realistically in this tale. Hoffmann's concern with the poet's position and his direct address to the reader are recurring elements within the narrative technique of his later works. These, especially those which echo many of the ideas in Der goldne Topf, will be discussed in the final section of this chapter.

4.2. The Reader

Before looking at these particular instances of narrative intrusion, a few comments should be made on E.T.A. Hoffmann's attitude towards his reader-audience in general.

Hoffmann's gift for reaching out to the average reader has been noted by many critics. Hans Georg Werner claims that Hoffmann aimed above all to affect and please a wide audience - in this he was clearly successful as his reputation in Europe shows.[1] It is evident also that Hoffmann wished to make his presence felt both physically and mentally in his stories. Friedrich Schlegel's pertinent comment on Hoffmann's narrative style was the description of him as "ein analytischer

Schriftsteller" and he explains this in more detail: "Dieser beobachtet den Leser wie er ist; danach macht er seinen Kalkül, legt seine Maschinen an, um den gehörigen Effekt auf ihn zu machen."[2] Barbara Elling, in her study of the reader in E.T.A. Hoffmann's work, explains similarly that the author expects his readers to undergo a learning process when reading his stories, since the direct address to the reader has the effect of activating and integrating him.[3] She also puts forward the view that Hoffmann's technique with the concept of forming a synthetic or ideal reader is indeed akin to that of Schlegel's - contrary to the opinion of certain other critics, especially Werner. Elling explains this concept as follows:

> Wie es der 'synthetische Schriftsteller' laut Friedrich Schlegel tun soll, 'konstruiert und schafft' [er] sich einen Leser, wie er sein soll; er denkt sich denselben nicht ruhend und tot, sondern lebendig und entgegenwirkend.[4]

The role to which the reader is assigned relates to that of the ideal reader: "In dieser Rolle ist er engagiert und selbsttätig, nimmt am Schaffensprozeß teil, ist Vertrauter des Erzählers und ist eingestimmt."[5] The reader is drawn into the tale and schooled as to how to identify with Hoffmann's characters, for example in Der goldne Topf, when Anselmus is trapped in the bottle (I;285). The narrator is seen to admit and apologize for his incredible tale, but he also indicates that it is just a vivid expression of what we sense or dream and therefore we should be able to identify with it.

The idea of a receptive and alert reader has already been noted in the discussions of the Serapion-club. After just a few stimulating ideas, the reader is left with "food for thought" to imagine what happens next or, more often, to decide for himself what really did

happen and what was merely dreamt (VI;113). The mood of Hoffmann's readers therefore becomes an important issue, particularly since the author is appealing to their imaginations. His growing tendency to intrude as a narrative voice suggests a device to guide or mould that mood into one of imaginative sympathy.

4.3. Brief overview of pre-1814 stories.

Few works were published before 1814 mainly because E.T.A. Hoffmann's career as a writer had only begun in 1809 with Ritter Gluck. The other stories which appeared in Phantasiestücke in Callots Manier prior to Der goldne Topf include the Kreisleriana works,[6] Don Juan (1813), Der Dichter und der Komponist (1813), Höchst zerstreute Gedanken (1814), Nachricht von den neuesten Schicksalen des Hundes Berganza (1814) and Der Magnetiseur (1814). Not one of the above mentioned works, however, contains any narrative intrusion as such, yet all of them reveal a certain awareness of the creative process, be it musical or literary. The form this "certain awareness" takes, as far as a poetological procedure is concerned, may vary; Ritter Gluck, as discussed earlier, illustrates a narrator's dream-like vision as the impetus for his tale. In others there is often more than one story-teller who indicates the source of inspiration or makes the reader aware that he is telling a story, for example in Die Automate and Die Fermate, written the year after Der goldne Topf.

Thus at this early stage of his writing career Hoffmann's central concerns are gradually coming to light in his short prose. It was not until the publication of Der goldne Topf in 1814/15, in the third volume of Phantasiestücke in Callots Manier, that these concerns began to

emerge even as a theme of the story, imparting to each an element of Schlegelian "Poesie der Poesie", that is: adding to the wondrous revelations by way of reflection. Thus the narrative voice begins to show more obviously Hoffmann's on-going concern with how and why a writer concocts such incredible happenings and characters.

4.4. Der goldne Topf.

As the first of E.T.A. Hofmann's longer "Märchen" and one which possibly brought him the most esteem and renown, Der goldne Topf sets the tone in its narrative technique for many of the later stories. By addressing the reader directly, the narrator of this tale reveals himself more obviously and his presence is felt throughout the work to a much grater extent than in any of the earlier works. Not only does this story represent a turning point as regards narrative technique, it also exemplifies the author's speciality, as discussed in the "Märchendichtung" conversation: the mingling of the wondrous or fairy-tale realm with that of mundane reality.

The importance of Der goldne Topf to Hoffmann personally is expressed in several of his letters to Kunz (his publisher) and to Hippel. Determination to succeed with this tale is mentioned in a note to Kunz as follows:

> Gott lasse mich nur das Mährchen enden, wie es angefangen - ich habe nichts besseres gemacht, das andere ist todt und starr dagegen und ich meine, daß das 'Sich herauf Schreiben' zu etwas ordentlichem, vielleicht bey mir eintreffen könte![7]

Placing the work in context with his others, Hoffmann reiterates the significance of Der goldne Topf in a letter to Helmina von Chézy, four years after the publication of the collection of the "Callot Manier"

stories:

> Gewiß hegen Sie ein zu günstiges Vorurteil für meine Werke, das mich zwar ehrt aber auch zugleich beschämt, da ich bis jetzt, das Märchen vom goldnen Topf vielleicht ausgenommen, nichts von eigentlicher Bedeutung geliefert.[8]

Clearly this "new" type of fairy-tale with its sub-title, "Ein Märchen aus der neuen Zeit", was considered to have particular significance in the author's view, as well as in critical opinion generally. Hoffmann's letter to Kunz which accompanied the completed manuscript in March, 1814, contains two comments which are crucial to any analysis of the story's narrative presentation: "Ohne Säumniß schicke ich Ihnen in der Anlage das vollendete Mährchen mit dem herzlichen Wunsche, daß es Innen in seiner durchgehaltene Ironie Vergnügen gewähren möge!" (my emphasis).[9] This so-called "sustained ironic tone"[10] relates precisely to the main concern here - the narrative intrusions. Stepping out of the narrative, out of the fictional world, the narrator creates an ironic tone by suddenly addressing the reader regarding the task at hand, thereby interrupting the illusion or image he had been at pains to create. Thus the above letter associates this "durchgehaltene Ironie" with the modern and quite unconventioal technique which involves the intermingling of two realms.

> Die Idee so das ganz Fabulose, dem aber wie ich glaube, die tiefere Deutung gehöriges Gewicht giebt, in das gewöhnliche Leben keck eintreten zu lassen ist allerdings gewagt und so viel ich weiß von einem teutschen Autor noch nicht benuzt worden.[11]

In the discussions of the Serapion-club, Cyprian expresses the general opinion that playful depiction of such serious figures in a fairy-tale realm is "ein gewagtes Unternehmen" (V;300), and refers to the result of

such a narrative: "Wahr ist es, daß sich daraus ein gewisser ironisierender Ton von selbst bildet" (V;301).

Hoffmann, as narrator deliberately shatters the illusion created to discuss with the reader precisely what he is trying to do. The intrusions occur just when events take a particularly wild and unreal turn. The first instance takes place at the beginning of the fourth vigil, following the incredible story of Archivarius Lindhorst's family origins (I;228). The first question posed to the reader asks for his participation in trying to imagine the sort of feelings Anselmus is experiencing and to have sympathy with him and his confused longings:

> Wohl darf ich geradezu dich selbst, günstiger Leser fragen, ob du in deinem Leben nicht Stunden, ja Tage und Wochen hattest, in denen dir all dein gewöhnliches Tun und Treiben ein recht quälendes Mißbehagen erregte und in denen dir alles, was dir sonst recht wichtig und wert in Sinn und Gedanken zu tragen vorkam, nun läppisch und nichtswürdig erschien? (I;232)

The narrator then continues with a description of Anselmus' inner strife - his confusion between the two opposing spheres, one in which he is rooted, the other for which he senses a longing - and his feeling of no longer quite belonging to "diese Welt" (I;232) in which he sees the colourful "Gewühl" which arouses in him neither pain nor joy. The narrator then concludes his explanation of the central character's predicament with the assertion - "Ist dir, günstiger Leser, jemals so zu Mute gewesen, so kennst du selbst aus eigner Erfahrung den Zustand in dem sich der Student Anselmus befand" (I;232). Thus, as Martin Swales points out, the narrative voice both registers Anselmus' incompetence and clumsiness within the bourgeois world of Dresden and, at the time, urges the reader to make common cause with the protagonist in his process of gradual translation into the higher world of the spirit.[12]

In the next section of this intrusion, the narrator attempts to enforce his depiction of Anselmus and all the other aspects of the wondrous realm by revealing his misgivings about convincing the reader:

> Überhaupt wünschte ich, es wäre mir schon jetzt gelungen, dir, geneigter Leser, den Studenten Anselmus recht lebhaft vor Augen zu bringen. Denn in der Tat, ich habe (...) noch so viel Wunderliches, das wie eine spukhafte Erscheinung das alltägliche Leben ganz gewöhnlicher Menschen ins Blaue hinausrückte, zu erzählen, daß mir bange ist, du werdest am Ende weder an den Studenten Anselmus noch an den Archivarius Lindhorst glauben, ja wohl gar einige ungerechte Zweifel gegen den Konrektor Paulmann und den Registrator Heerbrand hegen, unerachtet wenigstens die letztgenannten achtbaren Männer noch jetzt in Dresden umherwandeln. (I;232/3)

The concern expressed here signifies more than an attempt to engage the reader or, as one critic says, "(...) ihn [den Leser] in die Handlung hineinzuvermitteln".[13] The narrator seems to be making two contradictory comments.[14] On the one hand he is stressing the fictional nature of his work by indicating subtly that the reader may well disbelieve the stories of Anselmus and Lindhorst, and indeed may doubt the existence even of Paulmann and Heerbrand who, as overtly stated, are in fact taken from real life and satirized. On the other hand, the narrator is admitting here, subtly, that Lindhorst and Anselmus are characters of his own invention and he is fully aware that the reader will not take him literally as regards these two. Conceding this, the irony of "real" and "unreal" becomes more striking and the narrator appears to be explaining the complexity of inner versus outer worlds by illustrating that relationship of dream/fantasy (in Lindhorst and Anselmus) and everyday Dresden (in Paulmann and Heerbrand).

The intention behind his fictional work of art, however, is clarified fully in the final paragraph of the fourth vigil's intrusion,

and forecasts also the idea expressed in the twelfth.[15] The reader is entreated to try to recognize the familiar everyday types he meets in this world as they appear "in dem feenhaften Reiche voll herrlicher Wunder" (I;233), for if the reader succeeds in doing this, he will then believe that the beautiful realm of wonder lies much closer to him than he may have thought. As the text itself reveals, the narrator's aim in writing the story of Anselmus comprises this realisation:

> (...) versuch es, geneigter Leser, die bekannten Gestalten, wie sie täglich, wie man zu sagen pflegt im gemeinen Leben, um dich herwandeln, wiederzuerkennen. Du wirst dann glauben, daß dir jenes herrliche Reich viel näher liege. als du sonst wohl meintest, welches ich nun eben recht herzlich wünsche und dir in der seltsamen Geschichte des Studenten Anselmus anzudeuten strebe. (I;233)

As Armand de Loecker concludes in his study of Der goldne Topf, the serious narrative voice is trying to make his story more believable and at the same time entreating the reader to discover the fairy-tale realm even in the commonplace world. This is achieved through the narrator admitting, with an ironic, self-critical tone, that Anselmus and Lindhorst are just too far-fetched to believe, but that they have real validity as expressions of the wondrous, and of modern man's relationship to it.[16]

Thus the idea intended with this work - as Hoffmann's letter to his publisher shows[17] - amounts to a demonstration of the higher realm, the Golden Age existing not in some distant sphere, but here among those familiar characters of the reader's realm. De Loecker also illustrates this point but adds that in order to reach such a conclusion the reader needs to be coaxed into a certain disposition.[18] In other words the narrator's aim in directly addressing the reader and in deliberately

explaining the difficulties involved when a writer depicts a fairy-tale realm intruding into an everyday, familiar world, is simply to take the wind out of the realistic reader's sails by admitting the fantastically fictive nature of his main poet-types, as opposed to the plausibly but satirically drawn Paulmann and Heerbrand. The narrator then goes on to plead for the vastly greater importance of Anselmus and Lindhorst as representative of the wondrous dimension which "really" is there. As this sphere interrupts the commonplace activities set in Dresden, the reader should realize that if his powers of perception and imagination are sufficiently acute, that desired realm of so-called "Poesie" can be found to exist within his own ordinary environment, and not in some far-off unreachable future.

The second narrative intrusion occurs in the seventh vigil where Veronika and the old crone are experimenting with secret magical recipes with the intention of drawing Anselmus away from Lindhorst and towards a fully bourgeois way of life with Veronika (I;260). The scene, at first objectively depicted, is interrupted with the following direct-reader-address: "Ich wollte, daß du günstiger Leser, am dreiundzwanzigsten September auf der Reise nach Dresden begriffen gewesen wärest (...) (I;260). The effect of such an interruption is initially to create distance between the reader and the events depicted.[19] At the same time, however, the narrator is attempting to engage the reader as "Mitakteur"[20], and thereby bestows greater importance on this scene. The detailed portrayal of these strange nocturnal happenings continues but the reader has his feeling dictated to him in the second-person informal voice, for example:

Wie du nun so in der Finsternis daherfährst, siehst du

> plötzlich in der Ferne ein ganz seltsames flackerndes Leuchten. Näher gekommen, erblickst du einen Feuerreif (...). Es war dir, als seist du selbst der Schutzengel einer, zu denen das zum Tode geängstigte Mädchen flehte (...). (I;262)

The final words in this episode which are directed at the reader reveal more clearly the story's "durchgehaltene Ironie" in that mood and atmosphere have been compellingly created only now to be unceremoniously swept away again. Having deliberately tried to involve the reader in imagining that he was actually present on the 23rd September, the narrator ultimately dismisses the whole idea:

> - Weder du, günstiger Leser, noch sonst jemand fuhr oder ging aber am dreiundzwanzigsten September in der stürmischen, den Hexenkünsten günstigen Nacht des Weges, und Veronika mußte ausharren am Kessel in tödlicher Angst, bis das Werk der Vollendung nahe. (I;263)

This playful technique between narrator, his story and the reader echoes Friedrich Schlegel's theory of art being both playful and serious, and the constant emphasis on the paradoxical nature of art and its essential dualism.[21]

In the brief address to the reader at the beginning of the tenth vigil, the narrator's prime concern seems to be to sharpen the reader's imaginative faculties, to increase his participation and make Anselmus' imprisonment in the bottle comprehensible. A certain ironic tone may be sensed in the opening line - "Mit Recht darf ich zweifeln, daß du, günstiger Leser, jemals in einer gläsernen Flasche verschlossen gewesen sein solltest, es sei denn, daß ein lebendiger neckhafter Traum dich einmal mit solchem feeischen Unwesen befangen hätte" (I;285). The indication here is that such an incredible punishment could only occur in a dream as a vividly graphic expression of some complex and abstract

psychological problem. Interesting to note at this point is the distinct lack of any attempt on the narrator's part to convince the reader of the truth of such events. The main intention - as the narrator continues with a detailed description of how one would feel, trapped "in einem festgefororenen Äther" (I;285) - is to arouse sympathy in the reader and to help him envision such a peculiar situation and to understand what it represents.[22] He appeals directly to his audience: "Habe Mitleid, günstiger Leser, mit dem Studenten Anselmus, den diese namenlose Marter in seinem gläsernen Gefängnisse ergriff" (I;285). Roland Heine suggests that the address to the reader here amounts to another fabrication game.[23] In order to ensure that the reader can really imagine what it is like for Anselmus in the bottle, he is placed in exactly that position:

> (...) hast du aber auch dergleichen nie geträumt, so schließt dich deine rege Phantasie mir und dem Anselmus zu Gefallen wohl auf einige Augenblicke in das Kristall ein. (I;285)

Included in this depiction of Anselmus being stifled, unable to move or breathe,[24] is the specific intention of portraying vividly the anguished mental situation of an individual atuned to a wondrous dimension yet trapped in a real, modern world. Precisely that situation is depicted in more "realistic" than "symbolic" terms in the twelfth vigil, and relates to the narrator's personal position. The tenth vigil, with its imprisonment in the bottle, can thus be said to foreshadow the vision portrayed at the end of the tale of a writer trapped within the limits of his common- place, earthly surroundings.

Many critics claim that Der goldne Topf's most significant impact is acquired in the final vigil.[25] The most memorable narrative intrusion

occurs here where the perspective alters dramatically. While throughout the first eleven vigils the narrator is an "auktorialer Erzähler"[26] or, as another critic describes him, "an incorporeal medium relating the story"[27] he now becomes a character within the story itself. Whereas all the other vigils involving narrative intrusions were only a few paragraphs long, the twelfth vigil contains five separate sections in which the writer's predicament is portrayed through the figure of the narrator.

In the opening paragraph, the reader is informed of the profound effect Anselmus' "hohe Seligkeit" (I;298) has on the narrator himself, "in der Tiefe des Gemüts" (I;298). This empathy is further emphasized by the whole vigil in which the narrator takes over that role and in fact becomes a second Anselmus.[28] After complaining of the difficulties he is experiencing in his attempt to depict all the wonders of Atlantis which had befallen Anselmus and Serpentina, the narrator sums up his wretched position:

> Ich fühlte mich befangen in den Armseligkeiten des kleinlichen Alltagslebens, ich erkrankte in quälendem Mißbehagen, ich schlich umher wie ein Träumender, kurz, ich geriet in jenen Zustand des Studenten Anselmus, den ich dir, günstiger Leser, in der vierten Vigilie beschrieben. (I;299)

Thus the narrator, now an active character within the plot of the tale, shows his true feelings. He is struggling between the letter and the spirit,[29] between a dimly perceived vision which he cannot find the proper words to express.[30] Like his hero earlier, the narrator feels trapped by the insufficiencies of his world and overwhelmed by the inadequacy of the written word.[31] In this respect another parallel can be drawn between Anselmus' task and his difficulties as a scribe and a

copyist, and the similar situation for the narrator as a man of letters.[32] The despair at feeling so unable to write his twelfth vigil as the keystone to his fable reaches such an intensity that the narrator has no choice, he feels, but to give up and go to bed in the hope at least of dreaming of Anselmus and Serpentina.[33]

The full involvement of the narrator in the story continues with the relation of his experiences in Lindhorst's company. After receiving a letter offering him help with his tale's concluding section, the narrator visits Lindhorst's incredible "azurblaues Zimmer", (I;300) sits at the same table as did Anselmus and, with the stimulus of "angezündeter Arrak", (I;300) experiences that vision of Atlantis. Once again, Lindhorst is the guiding force behind the narrator's vision. As previously mentioned, the Archivarius even leaps into the flaming drink - "(...) der Archivarius warf den Schlafrock schnell ab, stieg zu meinem nicht geringen Erstaunen in den Pokal und verschwand in den Flammen" (I;301). Also, as a reminder of the narrator's role as a second Anselmus, he finds the vision of Atlantis written down before him, as one critic explains:

> Wie vorher Anselmus, ist jetzt der Erzähler zum Organ des Archivarius, des Geisterfürsten, geworden; wie vorher Anselmus, findet jetzt er das visionär Geschaute als Geschriebenes vor.[34]

The presentation of a narrative voice as a character involved in the tale's events affects the overall narrative perspective. As Roland Heine states, the narrator was unable to write the final vigil in the manner of any "Erzählautonomie",[35] or indeed in the same way he had composed his previous eleven vigils, and his new role as "ein erlebendes Ich"[36] results in the loss of that narrative autonomie. However, this new

appearance of the narrator on the same level as those he had described in the tale up to now has the effect of intensifying and expanding those narrative intrusions in vigils four, nine and ten. The twelfth vigil reveals that Anselmus' actions are a product of fantasy-writing and thus the derisive audience has little to criticize. With this ironic concession there seems to be a plea for the events to be taken seriously as vivid expressions of valid and actual problems.

Presented in the first-person voice, the encounter with Anselmus and Serpentina in that realm of paradise is described very effusively, for example: "Es rischeln und rauschen die dunklen Büsche - die hohen Bäume: (...) Die Quellen und Bäche plätschen und sprudeln (...). Im Jubelchor zwitschern und singen bunte Vögelein."[37] This divine realm of joy and love, where nature and man are in complete harmony, symbolizes in the lost island of Atlantis the Golden Age for which many romantic writers expressed a yearning. Anselmus' words illustrate how he has finally reached this perfect "Leben in der Poesie" by way of his "poetisches Gemüt" (I;273):

> Serpentina! - der Glaube an dich, die Liebe hat mir das Innerste der Natur erschlossen! - Du brachtest mir die Lilie, die aus dem Golde, aus der Urkraft der Erde, noch ehe Phosphorus den Gedanken entzündete, entsproß - sie ist die Erkenntnis des heiligen Einklangs aller Wesen, und in dieser Erkenntnis lebe ich in höchster Seligkeit immerdar. (I;303)

Anselmus' battle with his soul has been stilled. He retains the crucial recognition and awareness of both spheres (as the bottle-episode revealed) and above all his love, hope and faith. Not only the protagonist but also the narrator have experienced the stages of development as a sensitive artist-figure. The twelfth vigil shows his attempt to convince the reader of both his skills and his weaknesses,

and also that he too can attain that realm of "Poesie", if only for a brief glimpse. The final section pays tribute to the narrator's and Anselmus' mentor, Archivarius Lindhorst, the only figure who appears to have found a true balance between the two spheres:

> Die Vision, (my emphasis) in der ich nun den Anselmus leibhaftig auf seinem Rittergut in Atlantis gesehen, verdankte ich wohl den Künsten des Salamanders, und herrlich war es, daß ich sie, als alles wie im Nebel verloschen, auf dem Papier, das auf dem violetten Tische lag, recht sauber und augenscheinlich von mir selbst aufgeschrieben fand. (I;303)

Thus the narrator has been assisted in his struggle to complete the tale by being granted a vision - clearly an indication of the whole dream-like experience - which enabled him to find momentary respite from the monotony and problems of life as a writer. One critic interprets the Atlantis realm of "Poesie" as "(...) eine erweitete Vernunft, die Realität zu transzendieren".[38] Despite the happiness and relief at finishing his tale, the narrator describes his wretched existence in the worldly sphere, caught up in life's dreariness. He envies Anselmus, "(...) der du die Bürde des alltäglichen Lebens abgeworfen" and because the young student has discovered "Wonne und Freude" in that "Rittergut in Atlantis" (I;303). Finding himself back in the attic room where he had struggled with the depiction of his fairy-tale characters, the narrator longs more fervently for that sacred harmony and blessedness in which Anselmus resides:

> (...) Aber ich Armer! - bald - ja in wenigen Minuten bin ich selbst aus diesem schönen Saal, der noch lange kein Rittergut in Atlantis ist, versetzt in mein Dachstüben, und die Armseligkeiten des bedürftigen Lebens befangen meinen Sinn, und mein Blick ist von tausend Unheil wie von dickem Nebel umhüllt, daß ich wohl niemals die Lilie schauen werde. (I;303)

Once again it is Lindhorst who acts as a guide. He provides the

comforting words of reassurance when he points out that the narrator has just been allowed a glimpse of that Atlantis realm and that he too possesses there "einen artigen Meierhof als poetisches Besitztum [seines] inneren Sinns" (I;304). The very last question and sentence of the tale by Lindhorst reinforce the earlier indications that Atlantis and Anselmus' harmony represent no other than "das Leben in der Poesie" (I;304). These words point to a deeper meaning, as Ingrid Strohschneider-Kohrs illustrates:

> Es zeigt sich in der letzten Szene den Autor nicht nur in Not und Glück der Schreibesituation, sondern es handelt sich viel allgemeiner noch vom poetischen Sinn und nennt sich selbst als ein Stück konkret vorliegende Poesie.[39]

Above his narration Hoffmann has created, through his use of "Ironie",[40] a higher level of reflection. Ingrid Strohschneider-Kohrs discusses this concept in relation to Friedrich Schlegel's theories. She explains that his "illiberaler Zustand",[41] i.e. the rigid attachment to his own work's events and figures, is a condition from which the artist must free himself. To do this he must experience "eine Bewegung des Bewußtseins,"[42] taking the form of ironic distance. An author should reveal his awareness of the fact that the ideal world depicted in his art work represents but one tiny component against the backcloth of "die Fülle des Seins" - the plenitude of existence.[43]

Lindhorst's explanation indicates that one may reside in Atlantis in one's mind and that the harmony is possible if it is viewed as one moment against the backdrop of creation - just as the narrator's experience illustrates. Thus the "Märchen" as a work of "Poesie" should be understood as the momentary reflection of the poetic and wonderful. Through an ironic tone then, the narrator, and behind him clearly

Hoffmann himself, relativize and "potentialize" the work of written creativity. It is put forward as one component of the infinite possibilities of poetic instinct. The twelfth vigil reveals to the reader a realistic depiction of the artist-figure struggling to keep his balance on the brink of two worlds. Der goldne Topf as a new and revolutionary type of fairy-tale represents creative art in writing as well as reflecting itself.

With an increasingly prominent narrator, reflecting on the writer's task in the form of narrative intrusions and dramatic perspective changes, Der goldne Topf marks a turning point as far as Hoffmann's narrative technique is concerned. Not only did he progress gradually towards this, he also progresses beyond it in his later stories. A brief selection of the shorter prose works and the two longer fairy-tales will form the discussion of this final section.

4.5. Echoes in Later Works.

4.5.1. Der Sandmann.

Der Sandmann, one of Hoffmann's so-called "Nachtstücke" - a collection of which was published in 1817 - echoes Der goldne Topf in the following respects: in narrative appeals to the reader, ironic tone, and an emphasis on the imagination. It also represents a further evolution of many important theoretical ideas in practice.

The first of just two narrative intrusions occurs after the story has begun in letter form, related without any narrator at all. The opening line of direct address reveals to the reader that the whole work is the narrator's invention - an experience from within him:

> Seltsamer und wunderlicher kann nichts erfunden werden, als dasjenige ist, was sich mit meinem armen Freunde, dem jungen Studenten Nathanael, zugetragen, und was ich dir, günstiger Leser, zu erzählen unternommen. (III;18)

Whilst admitting his difficulties, the narrator also anticipates the scepticism he expects from his reader in reaction to the incredible and sinister happenings in the story. Instead of appealing to the reader to try to imagine the situation of one of the character's in the plot,[44] he actually depicts his own inner turmoil, asking the reader to put himself in his shoes: "Hast du, Geneigtester, wohl jemals etwas erlebt, das deine Brust, Sinn und Gedanken ganz und gar erfüllte, alles andere daraus verdrängend?" (III;18) He continues with a description of his inner turmoil, once again, dictating thoughts to the reader, as in Der goldne Topf:

> Es gärte und kochte in dir, zur siedenden Glut entzündet, sprang das Blut durch die Adern und färbte höher deine Wangen. Dein Blick war so seltsam, als wolle er Gestalten, keinem andern Auge sichtbar, im leeren Raum erfassen. (III;18)

The way the reader is addressed here by a reflecting narrative voice constitutes the very essence of "romantische Ironie": firstly, the actual intrusion by the narrator destroys the fictional illusion, and, secondly, the "permanente Parekbase"[45] - that constant commentary and critical reflection - is voiced. The narrator of Der Sandmann with his sudden intrusion, his attempt to explain to the reader his difficulties in finding the appropriate words to communicate his inner vision, can be compared to the similar situation of the twelfth vigil in Der goldne Topf. Anselmus in his role as an aspiring poet-figure can also be compared to the writer of poems, Nathanael, whose constant internal battle between his visions and the communication of them mirrors the

narrator's own predicament. It is noteworthy, however, that in this tale of Nathanael's "verhängnisvolles Leben" (III;18), the narrator's presence and the depiction of his predicament as a writer are still more prominently detailed, echoing the most important elements in Hoffmann's theories. Not only does the narrative voice discuss the central concern of communicating inner visions - "das innere Gebilde" (III;18) but there is also mention on two occasions of "ein kecker Maler" (III;18) and the tendency to sketch the outline of the inner image in order to make the final portrayal easier, something of which the narrator is envious:

> Hättest du aber wie ein kecker Maler erst mit einigen verwegenen Strichen den Umriß deines innern Bildes hingeworfen, so trügst du mit leichter Mühe immer glühender und glühender die Farben auf (...).[46]

While trying to enlighten the reader as to the intention behind his epistolary narrative at the beginning of the story, the narrator expresses the profound urgency he felt to convey his ideas (III;18). He also discusses his aversion to such fairy-tale beginnings as "Es war einmal" (III;19), which shows that, to an ever increasing extent, it is possible to relate all the narrator's qualms and concerns with those of E.T.A. Hoffmann himself - the late romantic writer for whom such a conventional style of writing fairy-tales was both senseless and ineffective.

In Der Sandmann the narrator progresses from inspiration to reflection in that he recognises his inadequacy:

> So trieb es mich denn gar gewaltig, von Nathanaels verhängnisvollem Leben zu dir zu sprechen. Das Wundbare, Seltsame davon erfüllte meine ganze Seele, aber ebendeshalb und weil ich dich, O mein Leser! gleich geneigt machen mußte, Wunderliches zu ertragen, welches nichts Geringes ist, quälte ich mich ab, Nathanaels Geschichte bedeutend, - originell, ergreifend, anzufangen. (III;19)

Limited as always by language, the writer struggles to pass from that inspiration to the second and more significant stage of the creative process - communication. Just as the narrative intrusions of Der goldne Topf inferred, Hoffmann has his narrator appeal to the reader's tolerance in regard to the wondrous happenings. The despair over his inability to portray his vision reaches such depths that, like the narrator of the twelfth vigil, the writer-figure in Der Sandmann decides to give up: "Mir kam keine Rede in den Sinn, die nur im mindesten etwas von dem Farbenglanz des inneren Bildes abzuspiegeln schien. Ich beschloß, gar nicht anzufangen" (III;19).

This resolution is in part quite accurate since the opening section of the story comprises merely three letters and no narrative voice until this intrusion. Indeed the narrator entreats his audience to accept these letters as the outline of his fable into which he will attempt to bring an increasing colourfulness. The intrusion here has a significant effect on the narrative perspective in the work as a whole. Having begun in the authentic mode of the first-person letter-form, there is then in this interruption, a change to the first-person voice of the narrator himself, and finally the remainder of the story is related in the more typical fictional third-person voice. In miniature this process is mirrored by the narrator's contradictory first and last sentences in his paragraph of intrusion. He begins with the statement, stressing the "inventive" nature of the story: "Seltsamer und wunderlicher kann nichts erfunden werden" (III;18), yet he concludes his direct appeal to the reader by asking him to imagine having seen these characters with his own eyes, in other words by insisting on the element

of "Lebenstreue".[47] The overall effect of such contradictions is once more an ironic one. An illusion is created, only to be disrupted later on. Finally, the narrator's expressed hope that the reader will find familiarity with his characters reminds one again of the fourth vigil in Der goldne Topf where there is a similar appeal. Here also there is a distinct ironic tone: the narrator, having admitted that Der Sandmann is the product of his fanciful visions, nevertheless asks his audience to make full use of their imaginations:

> Vielleicht gelingt es mir, manche Gestalt wie ein guter Porträtmaler so aufzufassen, daß du sie ähnlich findest, ohne das Original zu kennen, ja daß es dir ist, als hättest du die Person recht oft schon mit leibhaftigen Augen gesehen. (III;19)

As mentioned earlier in his direct address, the narrator's hope is to present the reader with a total picture, "so daß es wie ein elektrischer Schlag alle treffe" (III;18). But his final words echo those of the last paragraph of Der goldne Topf, only here the narrator is more explicit. If he uses his inner eye, the reader should be able to see and realise that the realm of wonder exists nowhere but in this world:

> Vielleicht wirst du, O mein Leser! dann glauben, daß es nichts wunderlicher und toller sei als das wirkliche Leben, und daß dieses der Dichter doch nur, wie in eines matt geschliffenen Spiegels dunklem Widerschein, auffassen könne. (III;19)

This last sentence demonstrates to the reader-audience the central message of the work, i.e. that the story amounts to a mental image reflecting the figures of everyday life. The understanding on the part of the narrator is now evident. He acknowledges that what he is describing is a world of fiction, but in actually admitting this he raises himself above his work of art, showing an awareness of his

limitations.[48] The following comment is particularly accurate: "This act of reflection checks a poet's enthusiasm and allows him to cool the heat of inspiration".[49] As Käte Hamburger states, the self-conscious narrator, through his reflections on himself and on the creative process, never lets us forget that we are in the realm of art.[50]

Thus Der Sandmann has many parallels with Der goldne Topf. Yet the later work shows an increasingly more obvious narrator presence, a more frequent use of irony and a more distinct poet-figure as character. The final image of the one lengthy intrusion is that of a writer in constant battle between inspiration and communication, as illustrated in the ending of Der goldne Topf.

Brief mention should now be made of another of Hoffmann's "Nachtstücke", also published in 1817, which includes a short narrative intrusion and a further link between the narrator's and the author's personal views of philistines.

4.5.2. Die Jesuiterkirche in G.

This story, related in the first-person, begins with a description of the narrator's journey and then immediately shifts perspective to address the reader. Here it is simply a matter of sympathizing with the narrator's uneasiness. He has arrived in a strange town and knows no one there, although he immediately characterises the citizens, or "Kleinstädter", as self-centred philistines interested only in their own affairs and averse to strangers (III;103). This criticism is interesting since the narrator begins as follows: "In dem Wort geht ja erst der Geist des Lebens auf in allem um uns her", and then draws the analogy to the inhabitants with a simile from music, "(...) die Kleinstädter sind

wie in sich selbst verübtes, abgeschlossenes Orchester eingespielt und eingesungen" (III;103). The narrator's evident dislike of such societies echoes E.T.A. Hoffmann's personal aversion to philistines or to those who neither appreciated nor understood his musical or literary compositions.[51] It is interesting to note the progression depicted here from the importance of music to the superior written word. Indicated by the narrator is also the central concern of Hoffmann himself: only from the world around him does the writer find a source of inspiration.

Although there are only brief direct-reader addresses throughout the work, it is one involving various artist-figures - in particular the painter Bernard - and the problems facing them which form the core of the story's plot. Thus Die Jesuiterkirche in G illustrates a few more of E.T.A. Hoffmann's concerns with the difficulties confronting the man of words.

4.5.3. Klein Zaches genannt Zinnober.

In the year following the publication of his "Nachtstücke" (1817), Hoffmann's second longer fairy-tale appeared. Klein Zaches genannt Zinnober has been described as one of the few works in which Hoffmann increasingly experiments with new poetological structures, the writer's source of inspiration - "die phantastische Eingebung" - and his artistic language of communication.[52]

The number of narrative intrusions has increased from four in Der goldne Topf to seven shorter ones in Klein Zaches. The main intention behind this work is expressed clearly by the author in his letters, and the conclusion drawn is important when comparing this tale to Der goldne

Topf. As Hans Schumacher explains, Hoffmann's idea for the story was born of an ironic imagination.[53] The author's letter to Graf Hermann von Pückler illustrates this point:

> Sie fanden einiges Wohlgefallen an meinen schriftstellerischen Versuchen, eben in dem Augenblick hat ein Märchen von mir die Presse verlassen, das, wie mir scheint, die Geburt einer etwas ausgelassenen ironisierenden Fantasie ist.[54]

In a letter to Hippel this ironic tone is linked with the humourous elements of the story, since the author seems to be constantly stressing the lighthearted nature of his work:

> Lies doch den Zinnober, das tolle Märchen wird Dir gewiß, ich darf es glauben, manches Lächeln abzwingen. Wenigstens ist es bis jetzt das humoristischte (sic), was ich geschrieben und von meinen hiesigen Freunden anerkannt.[55]

In another letter the tale is described as "ein super-wahnsinniges Buch"[56] or comprising nothing more than "die lose lockre Ausführung einer scherzhaften Idee".[57] In other words, Hoffmann did not intend the work to be taken as seriously as many critics actually did - a point he notes and includes in his next tale Prinzessin Brambilla. In that work's foreword he explains his aim clearly in the hope, as he says, of avoiding the analytical reaction called forth by Klein Zaches:

> Um nun jedem Mißverständnis vorzubeugen, erklärt der Herausgeber dieser Blätter im voraus, daß eben so wenig wie 'Klein Zaches', die 'Prinzessin Brambilla' ein Buch ist für Leute, die alles gern ernst und wichtig nehmen. (X;7)

From the text of Klein Zaches one can readily detect the humourous and satirical tone behind many of the figures and events: for example, in the description of the fairies, their magical powers have such an effect on the inhabitants that thay simply believe "an das Wunderbare (...) ohne es selbst zu wissen" (IV;123). Balthasar attempts to explain

to his very sceptical friend Farbian the unusual carriage belonging to the doctor Prosper Alpanus:

> So ist zum Beispiel sein Fuhrwerk so seltsam beschaffen, daß ein Mensch, der von lebhafter, feuriger Phantasie ist wie du, mein Freund, wohl dahin gebracht werden kann, alles für eine Erscheinung aus irgendeinem tollen Märchen zu halten. (IV;165)

Evidently the relationship between these two figures is an ironic mirroring of that between author/narrator and reader who are fully aware of the entirely fictional nature of such characters as Zaches and the invented city of Kerepes. However, the critical light in which the society is placed when they accept the selfish and conceited Zaches, comprises one of the many realistic elements of this humourous tale.

The entertaining tone of the satirical narrative intrusions serves to enhance that which is to be found in the story itself. In the first of the seven brief intrusions, the narrator explains why he wishes to relate all that he knows of the fairy Rosenschön:

> Du könntest, lieber Leser, aber doch, trotz deines vortrefflichen Scharfsinns, in falsche Vermutungen geraten oder gar zum großen Nachteil der Geschichte viele Blätter überschlagen, um nur gleich mehr von dem mystischen Stiftsfräulein zu erfahren. (IV;119)

In the second address to the reader, as in most of the others, the narrator comments on the characters being depicted, often with tongue-in-cheek humour. For example, when the academic Ptolomäus is described: "Du gewahrst, O mein geliebter Leser, daß man ein großer Gelehrter und doch mit sehr gewöhnlichen Erscheinungen im Leben unbekannt sein, und doch über Weltbekanntes in die wunderlichsten Träume geraten kann" (IV;132).

Although there is less of a serious concern in this tale with the

writer's predicament, one conversation between the kindly magician-type, Alpanus, and Balthasar, the poet-figure, involves the characterization of artistic souls. Balthasar feels the opposing forces of yearning and loving in his heart but then suddenly overwhelming joy at the prospect of destroying Zaches and thus gaining his loved one Candida. Alpanus then explains why he is so fond of such a disposition in a writer:

> (...) ich liebe Jünglinge, die so wie du, mein Balthasar, Sehnsucht und Liebe im reinen Herzen tragen, in deren Innerem noch jene herrliche Akkorde widerhallen, die dem fernen Lande voll göttlicher Wunder angehören, das meine Heimat ist. Die glücklichen, mit dieser inneren Musik begabten Menschen sind die einzigen, die man Dichter nennen kann. (IV;195)

Another parallel can be drawn here between Lindhorst's role as guide and mentor in Der goldne Topf, and Alpanus' role in solving the whole problem of Zaches' damaging presence in the town. Balthasar, yearning through his lines of poetry for his beloved Candida, can be compared with Anselmus, longing for unification with Serpentina.

Despite these obvious parallels, Klein Zaches does not illustrate the importance of a poetological realm or the writer's difficulties in portraying his visions as does Der goldne Topf. Instead it shows how the author, through his narrator and the intrusions, has set out to entertain his reader, to make him laugh even at the expense of not being taken seriously. The most skilful use of "romantische Ironie" can be seen in this work from beginning to end. There seems to be a definite progression from the milder hints of sarcasm and irony in previous works to this much more daring fairy-tale, foreshadowing in this respect Die Prinzessin Brambilla.

4.5.4. Die Prinzessin Brambilla.

This work is concerned with the author's own particular style and aim in his literary works. The narrative intrusions are so frequent as to occur in almost every chapter (sixteen times in all). Each of these chapters contains a synopsis of its main events in the form of a subtitle - a technique used in each of E.T.A. Hoffmann's longer "Märchen" and especially in Der goldne Topf. These methods of conscious narration, constantly showing the reader the way he is being led, illustrate the general increasing preoccupation with the presentation and form of a fairy-tale.

The longest and most enlightening of the narrative interruptions occurs at the beginning of the second chapter and sheds light on the idea behind the depiction of the wondrous realm and initiates the clarification of Hoffmann's concept of "dream". The first expressed hope is for the reader at least to surrender himself to the fanciful sphere by the end of the work. This is expected by the person who has undertaken to relate the story. Gradually the first-person voice is introduced and it is feared the reader may well have thrown the book away after the first few pages, exclaiming for example: "Tolles fratzenhaftes Zeug!" (X;30). The source and intention of the narrator's incredible visions are then revealed:

> Nun Kann ich dir sagen, günstiger Leser! daß es mir (vielleicht weißt du es auch aus eigner Erfahrung) schon hin und wieder gelang, märchenhafte Abenteuer gerade in dem Moment, als sie, Luftbilder des aufgeregten Geistes, in nichts verschwimmen wollten, zu erfassen und zu gestalten, daß jedes Auge, mit Sehkraft begabt für dergleichen, sie wirklich im Leben schaute und eben deshalb daran glaubte. (X;31)

As indicated in earlier works, such as Der goldne Topf and Der Sandmann,

the successful portrayal of the narrator's fairy-tale images depends on the reader's disposition towards such concepts. Only if he is readily prepared to envision them himself is he likely to accept and believe the whole story. As noted in regard to Klein Zaches, the foreword to Prinzessin Brambilla makes certain requests: firstly, the tale is not to be taken seriously and, secondly, the reader should do as follows: "(...) auf einige Stunden dem Ernst entsagen und sich dem kecken launischen Spiel eines vielleicht manchmal zu frechen Spukgeistes (...) überlassen" (X;7).

The narrator's aim in this work and, by implication, in any of his other stories involving "abenteuerliche Gestalten" and "tolle Bilder", confirms and clarifies all his more subtle hints in the narrative intrusions of works prior to 1820. He reveals the source of his courage to relate such fanciful characters:

> (...) das verzeihliche Streben (...), dich aus dem Kreise gewöhnlicher Alltäglichkeit zu verlocken und dich in fremden Gebiet, das am Ende doch eingehegt ist in das Reich, welches der menschliche Geist im wahren Leben und Sein nach freier Willkür beherrscht, auf ganz eigne Weise zu vergnügnen. (X;31)

De Loecker describes this narrative excursus as particularly important, since it reveals the deeper meaning of the fantastic nature of the narrative.[58] To justify the presence of the wondrous elements, the narrator refers to other tales and authors such as Chamisso's story of Peter Schlemihl, stressing, as de Loecker expresses it, that - "Das Wunderbare sei nicht das Produkt einer unverbindlichen Phantasie, sondern Ausdruck des versteckten Poeten in uns, fernes Echo der meistens unterdrückten Stimme, die nur im Traum oder im Wahnsinn bis an die Oberfläche durchdringen kann."[59] Mention of dreams here in the second chapter progresses to a much clearer definition of E.T.A. Hoffmann's

concept of the "dream" occurring in the fourth. Here, more graphically than in any other work, the dream is described as the conscious expression, welling up from within, of the longing for a higher mode of existence; namely for:

> (...) den Traum, den wir duch das ganze Leben fort träumen, der oft die drückende Last des Irdischen auf seine Schwingen nimmt, vor dem jeder bittre Schmerz, jede trostlose Klage getäuschter Hoffnung verstummt, da er selbst, Strahl des Himmels in unserer Brust entglommen, mit der unendlichen Sehnsucht die Erfüllung verheißt. (X;67)

The other narrative intrusions in Prinzessin Brambilla serve the narrator's - and more obviously Hoffmann's - pleasure in creating an ironic atmosphere. In the fourth chapter's intrusion, for example, the narrator, after stating his particular interpretation of "dream", goes on to criticize that type of author who comments and reflects on his work! He blames them because - " (...) sie machen gar zu gern den Chorus ihres eignen Buchs und nennen Reflektion alles das, was zwar nicht zur Geschichte nötig, aber doch als ein angenehmer Schnörkel dastehen" (X;68). As many critics point out, the abundance of instances of direct addresses to the reader in this fairy-tale reveals the author's great delight in embellishment or simply his "Lust am Spiel mit der Fiktion".[60] The narrator's prominence throughout the story is illustrated not only in the narrative intrusions but also in the description of happenings. Through various comments and breaks in the illusion, the narrator reveals himself as "souveräner Herrscher"[61]. One instance is particularly noteworthy. Towards the end of the work Celionati appears to intrude into the narrative more and more frequently with the effect of stressing the fictional nature of the whole, for example in chapter seven: "Ihr dürft, O mein Prinz, nur daran denken,

daß alles, was wir treiben, und was hier getrieben wird, nicht wahr, sondern ein durchaus erlogenes Capriccio ist (...)" (X;107). Such an ironic tone pervades the whole work, especially in connection with the character Celionati and the explanation of Giglio's "chronic dualism" (X;123). This has been regarded as the key to the problematic character of the story's main protagonist, but it is also significant to the entire work and to Hoffmann's poetological principles as a whole. When Celionati discusses the character of Giglio and his condition of "chronischer Dualismus", he indicates that it is a matter of not being able to differentiate properly between his "real" existence and his fantasized one (X;123/4).

The echoes of the condition of the Serapion priest become more evident, and there are also direct links between this tale's sources and the painter/sketcher Jaques Callot. He is first mentioned in the foreword. The editor requests of the reader - "doch ja die Basis des Ganzen, nämlich Callots fantastisch karikierte Blätter nicht aus dem Auge zu verlieren und auch daran zu denken, was der Musiker etwa von einem Capriccio verlangen mag" (X;7). For his birthday in January 1820 E.T.A. Hoffmann received twenty-four etchings by Callot which represented Italian masked carnival figures in grotesque poses. These provided the author with the idea for his story.[62]

Thus Prinzessin Brambilla incorporates a number of crucial factors concerning the process of fairy-tale writing. The humourous and ironic atmosphere of the text, together with the best clarifications of his intentions contained in the narrative intrusions (the use of "das Wunderbare" to provide relief from the everyday monotony and the definition of "Traum") result in the overall impression of this work as

the "tour de force" example of Hoffmann's later theories of creative writing. Far more than just echoing the traits of Der goldne Topf, Prinzessin Brambilla symbolizes in practice most of the author's main concerns.

4.6. Final Remarks.

This chapter has traced E.T.A. Hoffmann's progression from a subtle to a more prominent preoccupation with the writer's inner world. Having discussed briefly those works (prior to Der goldne Topf) in which there is merely a general underlying concern with the art of writing, the analysis then concentrated on the turning point in Hoffmann's narrative technique, represented by the story of Anselmus. The increasing amount of intrusion on the narrator's part, the breaking of illusions with critical commentary and reflections on the poetic act, has been illustrated by looking at the works published after 1814 and examining the extent to which they echo or enhance those ideas in Der goldne Topf. Ultimately, the longer "Märchen" and especially Prinzessin Brambilla reveal more clearly E.T.A. Hoffmann's precise intentions as a writer of fiction.

Endnotes to Chapter Four.

1. Hans Georg Werner, "Der romantische Schriftsteller und sein Philister Publikum: Zur Wirkungsfunktion von Erzählungen E.T.A. Hoffmanns," Weimarer Beiträge, 24 (1978), p.93/4.

2. Friedrich Schlegel, Kritische Friedrich Schlegel Ausgabe. II p.161.

3. Barbara Elling, "Der Leser E.T.A. Hoffmanns," Journal of English and Germanic Philology, 75 (1976), p.556.

4. Barbara Elling, "Der Leser E.T.A. Hoffmanns," p.556.

5. Barbara Elling, "Der Leser E.T.A. Hoffmanns," p.557.

6. The Kreisleriana stories include Jahannes Kreislers des Kappellmeisters musikalische Leiden (1810), Ombra adorata! Gedanken über den hohen Werth der Musik (1812).

7. Friedrich Schnapp, Dichter über ihre Dichtungen, p.91/2; Hoffmann's letter to Kunz, 8.9.1813, Dresden.

8. Friedrich Schnapp, Dichter über ihre Dichtungen, p.98; Hoffmann's letter to Helmina von Chézy, 16.10.1818, Berlin.

9. Friedrich Schnapp, Dichter über ihre Dichtungen, p.95; Hoffmann's letter to Kunz, 4.3.1814, Leipzig.

10. It is important to note the many definitions of the German "Ironie" and also the English term "irony". For the purposes of this discussion, the concept of "Ironie" relates to Friedrich Schlegel's theories, which, will be further clarified in subsequent references. The English definitions vary and do not correspond exactly to the German understanding of the idea, with the exception of the following quite broad definition: "(...) irony in its broad sense is the conflict between reality and appearance." This is taken from Handbook of Literary Terms, ed. H.L. Yelland, S.C. Jones & K.S.W. Easten, (Sydney, Australia: Angus & Robertson, 1983), p.93.

11. Friedrich Schnapp, Dichter über ihre Dichtungen, p.96; Hoffmann's letter to Kunz, 3.4.1814, Leipzig.

12. Martin Swales, "Narrative Accomodations: The Legacy of the Romantic Künstlernovelle," p.188.

13. Roland Heine, "Die fiktionale Reduktion der Transzendentalpoesie. E.T.A. Hoffmanns Märchen, Der goldne Topf," p.180. This provides one of the most detailed studies of E.T.A. Hoffmann's narrative technique, specifically concerning Der goldne Topf.

14. Roland Heine, "Die fiktionale Reduktion," p.180; "Von daher erscheint es widersprüchlich, daß der Erzähler einerseits den Fiktionscharakter seiner Erzählung betont, anderseits aber für diese Fiktion historische Glaubwürdigkeit fordert."

15. Friedrich Schnapp, Dichter über ihre Dichtungen, p.93; Hoffmann's letter to Kunz, 16.1.1814, Leipzig: "Die Idee, die ich beabsichtigte, spricht sich im Anfange der vierten Vigilie aus."

16. Armand de Loecker, Zwischen Atlantis und Frankfurt, p.41.

17. See Hoffmann's letter to Kunz, 16.1.1814 (footnote 15).

18. Armand de Loecker, Zwischen Atlantis und Frankfurt, p.41: "(...) das höhere Reich, das goldne Zeitalter liegt nicht irgendwo in einer fernen Zukunft, sondern besteht und lebt unter uns. Nur sollen wir dafür Auge und Ohr haben wollen und können."

19. Roland Heine, "Die fiktionale Reduktion," p.183.

20. Paul W. Wührl ed., E.T.A. Hoffmann: Der goldne Topf: Erläuterungen und Dokumente, (Stuttgart: Reclam, 1982), p.71.

21. Friedrich Schlegel, Kritische Friedrich Schlegel-Ausgabe. Athenäum Fragment 162, p.190.

22. Armand de Loecker, Zwischen Atlantis und Frankfurt, p.41.

23. Roland Heine, "Die fiktionale Reduktion," p.185: "Wieder spielt der Erzähler mit einer Fingierung."

24. E.T.A. Hoffmann, P.W. I p.285: "(...) du schwimmst regungslos- und bewegungslos wie in einem festgefrorenen Äther, der dich einpreßt, so daß der Geist vergebens dem toten Körper gebietet. Immer gewichtiger und gewichtiger drückt die zentnerschwere Last deine Brust - immer mehr und mehr zehrt jeder Atemzug die Lüftchen weg, die im engen Raum noch auf und niederwalten (...)."

25. John Reddick, "E.T.A. Hoffmann's Der goldne Topf and its 'durchgehaltene Ironie', p.591.

26. Roland Heine, "Die fiktionale Reduktion," p.187.

27. John Reddick, E.T.A. Hoffmann's Der goldne Topf and its Durchgehaltene Ironie," p.591.

28. Armand de Loecker, Zwischen Atlantis und Frankfurt, p.41.

29. L.C. Nygaard, "Anselmus as Amanuensis: The Motif of Copying in Hoffmann's Der goldne Topf, p.98.

30. L.C. Nygaard, "Anselmus as Amanuensis," p.98.

31. L.C. Nygaard, "Anselmus as Amanuensis," p.98.

32. L.C. Nygaard, "Anselmus as Amanuensis," p.80: "On a deeper narrative level, Anselmus' activity as a scribe and copyist offers a subtle and ironic reflection upon the process according to which the author composed his tale."

33. Hoffmann, P.W. I p.299: "Da warf ich denn den Feder hin und eilte ins Bett, um wenigstens von dem glücklichen Anselmus und der holden Serpentina zu träumen."

34. Roland Heine, "Die fiktionale Reduktion," p.188.

35. Roland Heine, "Die fiktionale Reduktion," p.189.

36. Roland Heine, "Die fiktionale Reduktion," p.189.

37. Hoffmann, P.W. I p.302. Such language as quoted here illustrates once again how Hoffmann's musical inclinations affected his fairy-tale writing.

38. Knud Willenberg, "Die Kollision verschiedener Realitätsebenen als Gattungsproblem in E.T.A. Hoffmann's Der goldne Topf," Zeitschrift für Deutsche Philologie, 95 (1976), p.101.

39. Ingrid Strohschneider-Kohrs, "Die romantische Ironie," Die deutsche Romantik. Poetik, Formen und Motive, p.91. As this critic affirms, "künstlerische Ironie" has found a richer and more profound unfolding in this work since "Poesie" has become its theme.

40. Friedrich Schlegel, Kritische Friedrich Schlegel Ausgabe, p.160. "Ironie": Friedrich Schlegel's interpretation of the concept reveals the ambiguity so relevant to Hoffmann's dualism, as Lyceum Fragment 108 illustrates: "In ihr [sokratische Ironie] soll alles Scherz und alles Ernst sein, alles treuherzig offen und alles tief verstellt (...). Sie ist die freieste aller Lizenzen, denn durch sie setzt man sich über sich selbst weg; und doch auch die gesetzlichste, denn sie ist unbedingt notwendig."

Relevant to Hoffmann is also Schlegel's allusion to the "Parekbase" which describes the constant critical commentary on events as performed by Greek choruses in drama. Schlegel's understanding of it relates to the destruction of an illusion created by the artist, proving an awareness of his limitations.

41. I. Strohschneider-Kohrs, "Die romantische Ironie," p.80.

42. I. Stroschneider-Kohrs, "Die romantische Ironie," p.80.

43. I. Strohschneider-Kohrs, "Die romantische Ironie," p.80.

44. As in the fourth vigil of Der goldne Topf.

45. Maria M. Tatar, "E.T.A. Hoffmann's Der Sandmann: Reflection and Romantic Irony," p.588.

46. Hoffmann, P.W. III p.18. This reference to a bold painter echoes the very first collection of stories with its dedication to the sketcher and painter Jaques Callot, Phantasiestücke in Callots Manier.

47. Barbara Elling, "Der Leser E.T.A. Hoffmanns," p.49.

48. M. Tatar, "E.T.A. Hoffmann's Der Sandmann," p.605.

49. M. Tatar, "E.T.A. Hoffmann's Der Sandmann," p.605.

50. Käte Hamburger, Die Logik der Dichtung, 2nd.ed., (Stuttgart: Ernst Klett, 1968), p.126-27.

51. This was of particular concern to Hoffmann and is illustrated in more detail in the Kreisleriana stories.

52. Giesela Vitt-Maucher, "E.T.A. Hoffmanns Klein Zaches genannt Zinnober: Gebrochene Märchenwelt," p.209.

53. Hans Schumacher, Narziß an der Quelle, p.133.

54. Friedrich Schnapp, Dichter über ihre Dichtungen, p.197; Hoffmann's letter to Graf Hermann von Pückler, 24.1.1819, Berlin.

55. Friedrich Schnapp, Dichter über ihre Dichtingen, p.198; Hoffmann's letter to Hippel, 27.1.1819, Berlin.

56. Friedrich Schnapp, Dichter über ihre Dichtungen p.199; Hoffmann's letter to Kralowsky, 5.2.1819, Berlin.

57. Foreword to Prinzessin Brambilla, Hoffmann, P.W. X p.7.

58. Armand de Loecker, Zwischen Atlantis und Frankfurt, p.175.

59. Armand de Loecker, Zwischen Atlantis und Frankfurt, p.175.

60. Armand de Loecker, Zwischen Atlantis und Frankfurt, p.174.

61. Armand de Loecker, Zwischen Atlantis und Frankfurt, p.174.

62. Friedrich Schnapp, Dichter über ihre Dichtungen, p.229.

5. Conclusion.

This study has revealed one very obvious and important progression in E.T.A. Hoffmann's development as an artist. From his beginnings in the fields of painting and music, with their relatively greater influence on conveying fantastic images and emotions, Hoffmann has cultivated literary skills which show an ever more markedly analytic and reflective approach to fictional writing. His productions of wondrous images and moods are combined with the increasingly prominent tendency to theorize and ponder on their relationship to reality.

Hoffmann's very early stories were notably of pictorial nature, as illustrated with reference to Jaques Callot. Creating inner pictures - intoxicated visions of things around him which bespoke a higher world - the author's method of writing calls to mind C.S. Lewis' essay Of Other Worlds, in which he describes how he came to write The Lion, the Witch and the Wardrobe:

> One thing I am sure of. All my seven Narnian books and my three science fiction books, began with seeing pictures in my head. At first they were not a story, just pictures.[1]

E.T.A. Hoffmann's particular gift for conjuring up vivid mental pictures, later to be moulded into fairy-tales, was often further stimulated by a glass of wine or some other libation, to which both Hoffmann and so many of his invented figures were quite partial. The early days of his writing career, marked by the influence of these pictures and visions, gradually progressed towards the creation of the musical fairy-tale. This singular mixture of the mundane and the

fantastic illustrates the constant awareness in E.T.A. Hoffmann's tales of the realistic difficulties in communicating such wonders. The visionary must always reflect, form and convey that problematic task of the writer, as the tale of Der goldne Topf exemplifies.

In the context of Hoffmann's short prose, this work seems typical, decisive, and indeed seminal. The turning point is thus reached with the Anselmus story of 1814. Fully aware of his short-comings, the fairy-tale's narrator is depicted struggling to communicate his vision, ultimately admitting that his attempt is but one component of a far vaster backdrop of creation. Echoed in later works, the increasing prominence of the writer-figure, conveyed through a narrative perspective interspersed with intrusions, Hoffmann illustrates the characteristic struggle between an "imagined" and an "actual" world. At first glance the qualifying explanations and deliberations in Der goldne Topf and such works as Prinzessin Brambilla and Der Sandmann appear to be part of a deliberate attempt to convince the reader of the truth of the story's characters and events. Closer examination, however, reveals that Hoffmann was entirely aware of the reaction he would produce in his audience, so much so that he anticipated their critical remarks concerning the singing snakes and salamanders swimming in blue drinks. By intruding to explain himself and his aims in writing such tales, he demonstrates an ironic awareness of the "unreal" nature of his fable, thus taking the wind out of the reader's critical sails. Yet at the same time Hoffmann preserves, with his explanations, the sense and significance of his extravagant concoctions.

The gradual progression towards this greater evidence of theoretical reflection is of particular importance because it links E.T.A.

Hoffmann's practice to the early theories of German Romanticism, expounded and developed by Friedrich Schlegel, and also echoed in the works of other Early Romantic writers. This link also emphasises certain constant elements of the Romantic Movement in German literature.

The concern, for example, with the poet's struggle to relate his fantasy and vision even to the most mundane reality is paralleled in several works in which the gifted artist-type, although capable of literal and figurative "flights" away from the commonplace (parental) world to be granted glimpses of eternal beauties, must always "return" or "awaken" to conventional reality. There, he is seen struggling not only to retain his visions, but also to relate or convey them to his fellow mortals. This difficult "two-step" recurs in Wackenroder's "Berglinger" story as well as in some Tieck-tales involving figures who would "show" or "sing" of wondrous beauty (Der blonde Eckbert and Der Runenberg), and especially in Novalis-works, such as Hymnen an die Nacht and Heinrich von Ofterdingen. In that latter novel-fragment - which Hoffmann's Der goldne Topf so clearly echoes and parodies - the pendulum always swings back to the realistic world of the father-figure, just as Der goldne Topf oscillates between the world of Serpentina and Lindhorst, and that of Dresden.

The Early Romantics, especially Friedrich Schlegel, were also preoccupied with the rational faculties and forming capacities which had to be integrated into the entire work as part of its attempt to convey a complete, though complex totality. With his appeals to the reader, placed ironically in the midst of depictions of extravagantly fanciful realms, Hoffmann aims to broaden his reader's horizons by entreating him to use all his sensory perceptions in order to catch a glimpse of that

"other" dimension, which is to be found in the "real" world. At the same time, however, the awareness of the problems of division and communication remains constant. In this way, Hoffmann combines several essential elements of Early Romantic theory and practice: depicting in Anselmus an ideal of poetic emergence echoing that of Novalis' works, stressing the problematic aspects of such a poet's relationship to mundane reality in a way more reminiscent of Wackenroder and Tieck, and realizing with his narrative structure those principles of Friedrich Schlegel which establish as a prominent theme of the work, the conscious struggle with problems of poetic creativity. In so doing, E.T.A. Hoffmann embodies the almost paradoxical complexities which meander their way along the entire path of Romanticism, and as a result, represents the essence and epitome of the whole literary progression.

Endnote to the Conclusion

1. C.S. Lewis, Of Other Worlds. Essays and Stories, ed. Walter Hooper, (New York: Harvest, 1975), p.32.

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